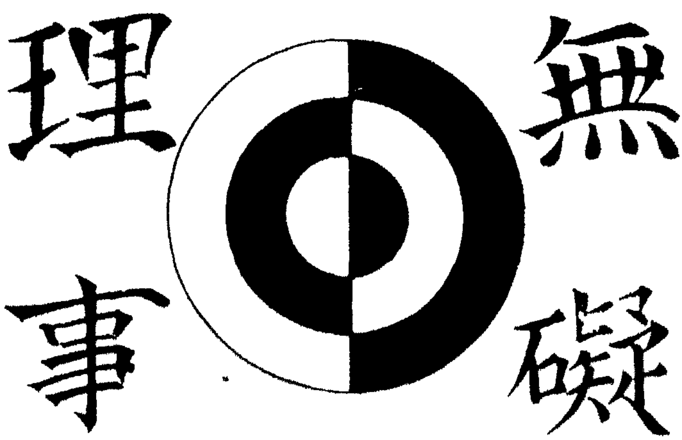
Dialectical Aspects in Buddhist Thought

Studies in Sino-Japanese Mahāyāna Idealism



Alfonso Verdu

International Studies, East Asian Series
Research Publication, Number Eight

Center for East Asian Studies
The University of Kansas

Dialectical Aspects in Buddhist Thought

Studies in Sino-Japanese Mahāyāna Idealism

Alfonso Verdu

International Studies, East Asian Series
Research Publication, Number Eight

Center for East Asian Studies
The University of Kansas

Library of Congress catalog card number 74-78238

Manufactured in the United States of America

Sole distributors in the USA & Canada
Paragon Book Gallery, Ltd.
14 East 38th Street
New York, N.Y. 10016

Preface

This book purports to present a sequence of essays on one of the most essential, though neglected, developments in Buddhist *Mahāyāna* thought: its "dialectical" character. What I mean by "dialectical" is the method of comprehensive philosophizing that pulsates in the great thinkers of all times and explicitly has characterized the Hegelian movement in the West. Nothing is more proper in Buddhist philoso-

Corrigenda

Page 4	line 20:	*for* dialetics *read* dialectics
Page 4	lines 24, 26, 27, 35:	*for* dialetical *read* dialectical
Page 9	line 8:	*for* apraṭiṣthita *read* apratiṣṭhita
Page 104	line 33:	*for* Hsiao-shen chiao *read* Hsiao-ch'eng chiao
Page 104	line 33:	*for* Hīnayana *read* Hīnayāna
Page 181	note 37:	*for* Yin *read* Yang
Page 181	note 37:	*for* Yang *read* Yin
Page 251	index:	*for* apratisthita *read* apratiṣṭhita
Page 258 and 272	index:	*for* hsiao-shen chiao *read* hsiao-ch'eng chiao
Page 268	index:	*for* Keiho Shūmitsu *read* Keihō Shūmitsu

development; the second covers [illegible])
Doctrine (*Wu-wei-shuo*), a scheme of philosophical perspectives on the "identity-difference," "one-many," "subject-object" relationships. This doctrine was developed by the founders of the already mentioned *Ts'ao-tung* school of *Ch'an (Zen)* Buddhism and has been commented upon by a great number of Buddhist masters and scholars throughout the centuries since its origin in the ninth century A.D.

Some readers will wonder why these two apparently disparate

Preface

This book purports to present a sequence of essays on one of the most essential, though neglected, developments in Buddhist *Mahāyāna* thought: its "dialectical" character. What I mean by "dialectical" is the method of comprehensive philosophizing that pulsates in the great thinkers of all times and explicitly has characterized the Hegelian movement in the West. Nothing is more proper in Buddhist philosophy than to show the human faculty of reason in the act of overriding its own self. In exposing its own limitations, Reason shows also the infinite and unspeakable transcendence and freedom that it harbors within itself. Through the process of historical dialectics, beginning with the *Hīnayāna* schools of psychological atomism and phenomenalism, past dialectical "negativism" (*Mādhyamika*) and subjective idealism (*Vijñānavāda*) up to the summit of "totalism" in the *T'ien-t'ai* and *Hua-yen* doctrines, Buddhism has borne one of the most coherent, progressive systems of philosophy that man's thought has ever produced. My own long-standing roots in the Western tradition of philosophy let me be astonished at the breath-taking heights and depths of Buddhist philosophical insights. This expansive breathing from categorial rationality to the suprarational lights of intuition has also extended itself—contrary to the belief of modern Western Buddhist dilettantism—to the very midst of practical *Ch'an* and *Zen* teaching, especially in its *Ts'ao-tung* (Japanese: *Sōtō*) branch.

This book is divided into four essays. The general treatment of "dialectics" centers, however, around two fundamental topics: the first is the notion of the "storehouse of consciousness" (*ālayavijñāna*), a concept central to *Mahāyāna* idealism in its general Indo-Chinese development; the second covers the so-called Five Degrees (Ranks) Doctrine (*Wu-wei-shuo*), a scheme of philosophical perspectives on the "identity-difference," "one-many," "subject-object" relationships. This doctrine was developed by the founders of the already mentioned *Ts'ao-tung* school of *Ch'an (Zen)* Buddhism and has been commented upon by a great number of Buddhist masters and scholars throughout the centuries since its origin in the ninth century A.D.

Some readers will wonder why these two apparently disparate

topics are dealt with in one and the same work. The reason is that, in my opinion, they are far from being such disparate topics. The notion of the *ālayavijñāna* (storehouse of consciousness), although a pervasive subject in Indian Buddhist idealism, contains the roots of dialectical ontology to culminate in the metaphysical "totalism" of the *Hua-yen* school. Moreover, the *ālaya* was a favorite subject in most of Kuei-feng Tsung-mi's philosophical writings. In his *ālaya* scheme we shall see the basic "fivefold" structure that most probably influenced the founders of the *Ts'ao-tung* school in their differing expositions of the Five Degrees Doctrine. This relatively unknown *Hua-yen* patriarch and *Zen* master, Tsung-mi, will provide us with the bridge between a purely Indian psychological and cosmological concept and the Chinese reformulation of its intrinsically dialectical processes as translated into original Chinese notions and terms. Thereby a view into the breadth and depth of the synthesis of Indian and Chinese thought as accomplished by *Mahāyāna* Buddhism will be opened.

This will explain the fourfold division of this book. The first part will concentrate on the origin and evolution of the *ālaya* concept itself. Tracing the path of this evolution will give us a systematic, progressive approach to the unfolding of Buddhist idealism. The second part will study Tsung-mi's dialectical structures as based upon his interpretation of the *ālaya* concept: thus the doctrine of the Five Degrees will be foreshadowed here. The third part formally will delve into the original meaning of the Five Degrees classical texts and their commentaries. The incorporation into Buddhism of such original Chinese conceptions as the cosmological background of the *Book of Changes (I Ching)* will be seen here. The fourth part will elaborate on further ramifications of the *Ts'ao-tung* doctrine of Five Degrees, especially through Neo-Confucianist and esoteric adaptations. As a result of this study we shall advance towards a more comprehensive expression of its dialectics.

Now a word about the presence of symbols, diagrams, and so forth in this book. The use of drawings, emblems, and diagrams is a frequent characteristic of Chinese thought: the innate intuitive nature of the Chinese explains this tendency to "visualize" thought. The interpretation of symbolic expressions, both through literary metaphor

and through pictorial diagrams is essential to this work. Most of the diagrams shown here are taken from textual sources. I also include some of my own charts and diagrams that—as a teacher—I have found useful for classroom work. It is important to note at this point that one should approach this book not as an easy-to-read popularization. To understand the complex sequence of thought, one should use it as a tool of investigation and study, not as just perfunctory reading.

And last, but not least, some words of the most expressive gratitude to a man whom I consider to be one of the finest Buddhologists of the present: I am profoundly indebted to the generous help of Professor Leon Hurvitz of the University of British Columbia in Vancouver, Canada. Without the wealth of his suggestions and the assistance of his awesome linguistic expertise, this manuscript could never have been published. I am both honored and thankful for having had the privilege of the precious time he dedicated to make this work possible. Also a word of gratitude to my colleague Dr. Richard Spear, Professor of Oriental Languages and Literatures at the University of Kansas, and to my former graduate students John Berthrong and Leslie Moe for their selfless assistance in the revisions and corrections of the manuscript. I cannot finish my foreward without mentioning the support and efforts of the editor of the University of Kansas East Asian Series and Director of the East Asian Studies Program, Professor Grant Goodman. It is ultimately due to his endeavors that the present work has seen the light of publication. To him also I express my deepest gratitude.

ALFONSO VERDU
The University of Kansas

Contents

Part I

The Genesis and Evolution of the Ālayavijñāna (A-li-yeh shih) Concept

1
Introduction

The concept of the *ālayavijñāna* is of the utmost relevance in the development of Buddhist dialectical thought. In general, Buddhist dialectics did not originate with the formation of this peculiar concept. Nāgārjuna,[1] the Indian founder of *Mādhyamika* (the "Middle Way" school), was the first Buddhist thinker to introduce a dialectical system as the means of developing progressive philosophical views and definitions of truth. Although Nāgārjuna never mentions the *ālaya-vijñāna*, the continuous reference to this concept made by members of the idealistic *Mahāyāna* schools demands a close investigation into its origins and significance. The importance of this concept lies to a greater extent in the revision and usage made of it at the very climax of Buddhist thought as propounded by the *Hua-yen* thinkers.

In this historical development of Buddhist philosophy, the *Hua-yen*[2] (Japanese: *Kegon*) school—together with the *T'ien-t'ai* (Jap.: *Tendai*) school—appears as the *positive* counterpart of the more negativistic *Mādhyamika* school of Nāgārjuna. The Hegelian principle that the proper dialectical moment lies in the suspension or negation of the thesis is fundamental but not final or definitive. The superseding of this negation into a new synthesis is of positive character, namely, the negation of the negation by the overreaching of the opposites into an identity that "preserves" their difference. In Hegelian terminology this "identifying" moment that surpasses the "dialectical" stage of "suspension" is called the "speculative" moment. Because Nāgārjuna did not heed this positive "result" of the dialectical method, his exposition remained a closely connected manifold of negations. Thus, it was the *Hua-yen* (Jap.: *Kegon*) school which brought the Buddhist dialectical movement, initiated by Nāgārjuna, into the formally positive "speculation" concerning the philosophical expression of truth.

This Kegonian development of positive expression of truth relies upon the revision of certain *"Vijñānavāda"* (idealistic school) terms and upon the interpretation of some central "mahayanistic" scriptures like the *Laṅkāvatāra-sūtra*, the *Avataṃsaka* or *Hua-yen sūtras*, and the

highly speculative treatise entitled *Mahāyānaśraddotpāda* (Awakening of Faith in Mahayana).[3] Thereby, the *Hua-yen* philosophically represents the dialectical overcoming of the quasi-Humean realism of the *Hīnayāna* schools, the purely subjective idealism of the *Vijñānavāda* or *Yogācāra* schools, and the dialectical negativism of Nāgārjuna's *Mādhyamika.*

Two of the aforementioned scriptures, namely the *Laṅkāvatāra* and the *Awakening of Faith* make a significant use of the *ālaya* notion. In their turn, the Chinese replicas of the Indian *Vijñānavāda*, namely the *Fa-hsiang* (Jap.: *Hossō*)[4] schools are to be credited for their endeavors to accommodate the original concept of the *ālaya* to their own systems. This same concept also plays a broad role in the teachings of Kuei-feng Tsung-mi, the sixth patriarch of *Hua-yen*, who was intimately connected with well-known *Ch'an (Zen)* masters of his time and was closely followed by the founders of the *Ts'ao-tung* (Jap.: *Sōtō*) branch of *Zen* Buddhism, who gave "Zenistic" formulation to Kegonian dialectics in the poetical forms of the "Five Ranks" or "Five Degrees" (*Ts'ao-tung wu-wei*; Jap.: *Sōtō no goi*).[5] This explains the importance to be attached to the *ālayavijñāna* as a dialectical notion.

The fact, however, that dialetics in Eastern thought was not restricted either to the Indian instance represented by Nāgārjuna or to the later developments in Chinese Buddhism should not be overlooked. Neither Indian thought nor Buddhism as such is the exclusive propounder of dialetical theories. In a more "cosmogonic" context, Chinese thought in its original patterns of Confucianism and Taoism contains already clear signs of surprisingly high dialetical expression. Chinese classical dialetical ontologies can be involved in the method of divination as given in the famous *I Ching* (Book of Changes). This diagrammatic exposition is generally known as the "Chart of the River Lo," the "magic square" exhibiting an unchanging identity in the ever-turning change of the "young Yin" into the "old Yang" and the "young Yang" into the "old Yin."[6] Later the *Ts'ao-tung* (Jap.: *Sōtō*) thinkers will take note of this fact in their efforts to attain a perfect synthesis of Buddhistic and original Chinese thought. At present all reference to Confucianistic or Taoistic dialetical influences will be provisionally disregarded in order to concentrate on the Buddhist field in which the concept of *ālayavijñāna* becomes the central

point of the exposition of ontological dialectics. Mention of the Neo-Confucianist contributions will be made later, in part 4 of this work.

The concept of the *ālayavijñāna* has a remarkable historical background, beginning in the midst of the obsolescent *Hīnayāna* doctrines and undergoing a long process of revision and reformulation before it is seen to be an intrinsically dialectical notion in itself. Because of this transformation, the original role attached to this concept will appear quite remote from the universalistic character it will obtain in the climax of its progressive sublimation.

The Sanskrit term *ālayavijñāna*[7] has been consistently translated as "storehouse consciousness." Etymologically it designates the lower center of undifferentiated and potential consciousness, which "stores" within itself the "seeds" of all differentiations and particularizations that contribute to the human being's actual individual existence and worldly experience. As suggested previously, a variety of interpretations arises within the various Buddhist schools that elaborate upon the ontological status and role to be played by this center of fundamental consciousness. *Ālayavijñāna* does not necessarily imply the actual exercise of consciousness, although it is always understood as constituting the fundamental source of all conscious activities; the French *connaissance de fonds* seems to come closest to the idea it expresses. Even though some of its original aspects may be reminiscent of the modern concept of the subconscious, it must be noted that the role attached to it is a metaphysical one and is definitely broader than that which is normally attributed to the subliminal sources of personal behavior.

The purpose of the next few chapters of part one will be an exposition of the historical process undergone by this peculiar concept: It progresses from the aforementioned "humble" role of a mere storehouse of the karmic seeds, as a continuation of the deluded individual existence, on to its most eminent function as the Eastern replica and forerunner of the Hegelian absolute "IDEA in and for itself," encompassing all the aspects of reality as the very ultimate identity between the two realms of Absoluteness and Relativity. We shall explain in separate sections the different roles played by the concept of the later *Hīnayāna* schools, in the Indian *Vijñānavāda*, in its Chinese counterparts—the *Fa-hsiang* (Jap.: *Hossō*) schools—and finally in the *Hua-*

yen (Jap.: *Kegon*) school. A separate section will also be dedicated to the interpretation of the so-called Three Natures doctrine, concerning three moments in conscious being that will have phenomenological as well as dialectical applications.

2
The Concept of the Ālayavijñāna in Early Indian Buddhist Idealism

It is difficult to ascertain the immediate channels through which the concept of the *ālaya* was introduced into *Mahāyāna* thought. Asaṅga (A.D. 410–500) and his young brother Vasubandhu (A.D. 420–500)—after his conversion to "mahayanism"[8]—were, as cofounders of the *Vijñānavāda* (Cognition-ism or Idealism) school, the first *Mahāyāna* thinkers to make full use of the *ālaya* concept. This term, however, is not totally absent from some late texts of the *Hīnayāna Pāli* scriptures of the *Theravāda* school. The *Aṅguttaranikāya* sporadically uses the word *ālaya* (storehouse, reservoir) with the meaning of "refuge" or "resting place"; it is said that the doctrine of the Buddha "has no *ālaya*," that is, that it does not sit on any definite ground, has no definite refuge to offer, and so forth, thereby perhaps connoting and emphasizing the "impermanent" character of all existence. In the *Catukkanipāta* (part 4 of the *Aṅguttara*) there is a vague reference to *ālaya* as a psychological source of egotism and attachment and as a principle of deception: "Dwelling in *ālaya*, O mendicant monks, are the creatures, taking their pleasure in *ālaya*. When the 'Thus-Come One' teaches the Dharma has no *ālaya*, then they are eager to hear, they incline an ear, they initiate the thought [of the wish for the] knowledge [that saves, i.e., that conduces to *nirvāṇa*]."[9] Individualized consciousness itself is designated as *mamāyita*, a term indicating the state of "ego-ness" and "mine-ness," the sense of both cognitive and volitional ownership and egotism;[10] in this context *ālaya* seems to bear an objective connotation referring to the deceptive character of the "world-of-things" as a false "refuge" and "resting place" of the human will.

Were the brothers Asaṅga and Vasubandhu affected or influenced by these obscure *Hīnayāna* texts? It is practically impossible to answer this question. There is no evidence that the sporadic mentions in the *Pāli* literature were in any way alluding to *ālaya* as the concept that became the cornerstone of the *Mahāyāna* structure of idealism. Here the *ālaya* is far more than a mere source of attachment to objects.

Ontologically it sits behind the very sense of subjectivity itself. *Ālaya-vijñāna* is the very storehouse of karmic seeds, and thereby it is made the "world-projecting" center of "causation by mere ideation." Thus it also provides a basis for continuity in the transmission of *karma* from existence to existence, a fact that remains ontologically unexplained in the *Sarvāstivāda* pluralistic, quasi-Humean conception of evanescent and momentary *dharmas*.[11] In point of fact, the problem posed by the new idealist brand of Buddhist thought will be: Does the *ālaya* concept imply some permanent and substantial substratum conflicting with the *an-ātman* (no ego, no soul) dogma of "impermanency"? There are probably different answers to this question. Perhaps it was the effort to answer this very question that boosted the issue of the *ālaya* to what it became in the more universalistic, totalistic, and dialectical systems of Buddhism, such as are represented by the doctrine of the *Laṅkāvatāra-sūtra*, the *Mahāyānaśraddhotpāda* text, and the *Hua-yen* (Jap.: *Kegon*) school.

As first founder and propounder of the *Vijñānavāda* doctrine, Asaṅga wrote the *Mahāyānasaṃgraha* (Compendium of *Mahāyāna*),[12] which later was annotated by his own brother Vasubandhu. This work contains the first systematized theory of causation by the "ideation storehouse" (*ālayavijñāna*).[13] Its idealistic doctrine is developed in ten chapters: the first two deal with the character of the storehouse-consciousness from which all worldly things and events, in keeping with the theory of mere ideation, are outwardly projected and manifested. The text is not quite clear as to whether the storehouse-consciousness should be considered as a universal source of individual consciousness or as a plural principle per se, performing at the bottom of each individual human mind. The latter conception appears most plausible. For one thing, Asaṅga's text does not seem to imply any sort of ultimateness in the storehouse-consciousness as such. It just considers *ālaya* as the seat of pure subjectivity, out of which objectivity develops. As potential mind, it contains both "pure" and "tainted" elements as "seeds" for the deployment of the objective manifold of phenomena; certain passages of the text seem to suggest an emanatistic conception of the phenomenal world, which is thought of as fumes being exhaled from the *ālaya*. Too much emphasis on this charac-

teristic would impair, however, the purely idealistic approach that seems to be in the intention of the author.

The role of the "pure" aspect of ideation within the *ālaya* is eventually to nullify the "tainted" portion of it; and when this has been attained, the ideation storehouse—as the very seat of ignorance—dissolves, the sense of individuality vanishes, and *nirvāṇa*, as a state of pure and undefiled (*amala*) original mind, is realized. Thus, *tathatā* (suchness), or the "no abode" (*apratiṣṭhita*) state of the transcendental mind (later viewed as the *amalavijñāna*, or undefiled consciousness), has been reached. In the exposition of this ideation doctrine, the fact that all objective phenomena are considered to be mere correlates of the *ālayavijñāna* appears with certitude. Thus the implicit attribution of substantiality and continuity to the ultimate ground of consciousness and the subsequent denial of independent reality with respect to the plurality of the objective *dharmas* (the reversal of the *Sarvāstivāda* doctrine) was certain gradually to enhance the role of the *ālaya* ideation storehouse.

After his "philosophical" conversion, Vasubandhu became closely associated with his brother and adhered to the doctrine of *ālaya* as the basis of subjective consciousness and the source of all phenomenal multiplicity. The main writings of his idealistic period were the *Vijñaptimātratāviṃśatikā* (Twenty verses) and the *Vijñaptimātratātriṃśikā* (Thirty verses) on the doctrine of mere ideation that were later commented upon by Dharmapāla. The main purpose of these works seems to have been the reduction of the realistic doctrine on the multiplicity of the *dharmas* (which he had propounded in his previous work, the *Abhidharmakośa*) to the new idealistic standpoint. The *Twenty Verses* text contains a rejection of realism, attempting to prove that reality is mere consciousness, while external objects are merely the content of thought. The *Thirty Verses* text fully explains the causation process itself. In this respect Vasubandhu repeats many of the lengthy enumerations of *dharmas* under five fundamental groups, still following the classical *Sarvāstivāda* division,[14] although this time no longer as interdependent elementary entities but merely as content and factors of consciousness. In these enumerations he consistently relegates the *ālayavijñāna* to the level of conditioned or relative factors (*dharmas*), thus making it the first of a series of eight levels of

individual consciousness supposedly derived from one another as the immanent transformations (*pariṇāma*) of the very *ālaya* itself as "fundamental consciousness" and "ideation storehouse." In this respect, Vasubandhu clearly conceives the *ālaya* as a strictly individual and relative principle.

It is not only by the enumeration of *dharmas* that Vasubandhu shows how much he still was under the influence of the *Sarvāstivāda* analytic tradition. The doctrine of "momentariness"—so typical of *Hīnayāna* scholasticism—is persistently, although incongruously, adhered to. According to the old *Hīnayāna* tradition, existence—as we experience it—is merely the parade of phantoms brought about by the ever-rising "dust" of the *dharmas*, blown to momentary manifestation by the winds of ignorance. The flux of experience is simply due to the stream of a multiplicity of originally potential *dharma* elements, ultimate "factors" of a quasi-atomistic source of reality, wherein each combination of such factors "momentarily" emerges to sink again and to be replaced by a new "set" of them, and so forth. Thus the apparent continuity of existence is as illusory—to use a modern illustration—as the events of a motion picture that is being shown on the screen. Experience and its world are but a succession of discrete aggregates (*skandhas*) of factors of existence (*dharmas*), wherein each such combination lasts only one infinitesimal and indivisible moment. After Vasubandhu rejected these "errors" and adhered to monistic idealism, he—and his commentator Dharmapāla—retained the concept of "'momentariness," integrally and radically. Thereby the *ālayavijñāna* itself, now made the source of the merely "mental" projection of a "dream world," is also subjected to "momentariness." The *ālaya*, as "perfumed" or affected by the acts posited by its own subordinate faculties, changes each moment with the very stream of experience whose source and foundation it is supposed to be. As Vasubandhu and his commentator Dharmapāla say:

> First of all, [there is] the storehouse consciousness (*ālaya*), which brings into fruition all seeds (effects of good and evil deeds). . . . It is always flowing like a torrent. . . . [*Commentary*—Dharmapāla's]: Why are the seeds so called? They mean that functions and differentiations in the root consciousness (the eighth) spontaneously produce their own fruition. . . .

> In this way the other consciousnesses [or seven subordinate faculties] which "perfume" (affect) it and the consciousness which is perfumed [*ālaya*] *arise and perish together*. . . . By "transformation" [of the *ālaya*] is meant that this consciousness, from time immemorial, comes into and goes out of existence *every moment* and changes both before and after. . . . It is like a *violent torrent*, for it is naturally so because of [the relationship of] cause and effect [among its own seeds].[15]

In this context how could the ever-changing, insubstantial "chain of events" called *ālaya* be then a storehouse of seeds for all the future acts of consciousness? How can a stream (the flux of actual experience) be embedded in another stream (the *ālaya* itself)? Did Vasubandhu genuinely adhere to his brother's idealism, or did he just transform his theory of realistic "discreteness" (multiple *dharmas*) into a radical sort of Heraclitean vitalism or Humean psychologism? These questions are as puzzling within Vasubandhu's alleged idealism as the problem of "karmic" transmission (from death to rebirth) was in his previous "dharmic" theory of pluralism.

Whatever the ontological problems posed by Vasubandhu's conception, his *ālaya*, as fundamental consciousness (*mūlavijñāna*), still is said to reside at the bottom of its seven subordinate faculties and underline their activities. Thus the total of eight consciousnesses, in order of depth and complexity, can be enumerated as follows:

First through fifth: Five sensorial consciousnesses: *cakṣurvijñāna* (seeing), *śrotravijñāna* (hearing), *ghrāṇavijñāna* (smelling), *jihvāvijñāna* (tasting), and *kāyavijñāna* (touching).

Sixth: *Manovijñāna* (mind-consciousness). It is considered as the faculty of intelligible apperception, acting both as the unifying principle of the raw sensorial data provided by the senses and as the faculty of ideal conceptualization. It bears partial comparison with Thomas Aquinas's "active intellect," which reads the intelligible in the given sensorial "phantasm." Erroneously enough, *manovijñāna* has been often translated as "sense-center." This designation is at least misleading and obviously minimizes the range of its role.

Seventh: *Kliṣṭamanas* or *kliṣṭamanovijñāna* (afflicted or defiled mind). This is the reason-center, that is, the mind as the pondering, calculating, constructive thought-faculty. As *manovijñāna* accounts

for the passive constitution of objects in consciousness through simple apprehension, *kliṣṭamanas* is in charge of objective creativity through the application of means to ends. In this sense, it becomes the seat of personality and accounts for the subjective constitution of ego-ness as the principle of active relationship to and involvement with objective phenomena. On these grounds, *kliṣṭamanas* appears also as the proximate origin of craving, clinging, and becoming (will and "karmic" actions). This explains the designation of *ādānavijñāna* (clinging or holding-on-to consciousness) often given to the seventh faculty.

Eighth: *Ālayavijñāna*. This is the seat and ultimate subject of ignorance (*avidyā*), the keeper of the karmic seeds, and the subconscious reservoir of potentialities.

Thus the character of the *ālaya* clearly appears as the final link—close to Universal Absoluteness—within the sphere of "conditioned and relative" being. Ultimately, it does not seem that the *ālayavijñāna* can be identified in any way with the universal pure mind realized in *nirvāṇa*, which, together with "space" (*ākāśa*) and "the *dharma* of extinction," belongs to a different realm of utter absoluteness (*tathatā*, or suchness).[16] Therefore, in Vasubandhu's thought, and this more conspicuously than in his brother's doctrine, an ontological gap seems to separate the individual *ālaya* from the absolute level of "suchness." Thus one of the main inconsistencies of the *Sarvāstivāda* system remains unsolved: the lack of an ontological link between the dissolution of the aggregates of *dharmas* as the extinction of finite consciousness and the "positive" realization of *nirvāṇa*. It seems that Vasubandhu, in spite of his sincere conversion to "mahayanism," was strongly hampered by the excessive "dissecting" quality that his thinking acquired from his *Sarvāstivāda* period. The problems of his Idealism still remain: (1) The above-mentioned character of momentariness attributed to the *ālaya* itself; (2) the obscure ontological relationship between the *ālaya* as ultimate basis of subjective and individual mind and the absolute state of *nirvāṇa* as transcendental pure mind, which involves the further question of how the final destruction of the *ālaya*, as a limited and still conditioned *dharma*, may result in the accomplishment of the nonconditioned *dharma* of the *nirvāṇa of "no abode"*; (3) assuming that an ontological connection exists between the *ālaya* as ground of individual subjectivity and an ultimate,

absolute, and universal source of intersubjectivity—as should be presupposed in any kind of subjective monistic idealism—how this would prevent anyone from considering the latter as a universal and macrocosmic *ālaya*, as the all-comprehensive "medium" and "receptacle" of all seeds of the worldly universe as such and as the basis for the intersubjective constitution of a common world for all individual minds; (4) how this would provide the basis for a final identification between the concept of *nirvāṇa* and the concept of such a presumptive, universal "storehouse of consciousness." These were the problems facing Chinese translators and commentators of Asaṅga and Vasubandhu and the founders of the Chinese *Vijñānavāda* schools (the *Fa-hsiang* or the Japanese *Hossō* schools). These questions also became the subject matter for subsequent controversies leading to a clearly dialectical and universalistic conception of the *ālayavijñāna*, as following sections of this chapter will explain.

But before discussing the tenets of the Chinese *Fa-hsiang* schools, a very important reference should be made to two other original Buddhist scriptures, which, though independent of the brothers Asaṅga and Vasubandhu, must be considered as further and very significant exponents of the concept of the *ālaya.* Such reference is to the *Laṅkāvatāra-sūtra* (author unknown) and to the highly speculative scripture *Mahāyānaśraddhotpāda* (Awakening of faith in Mahayana), usually attributed to Aśvaghoṣa.

The age and origin of these important mahayanistic scriptures is extremely obscure. Some authors, such as Chandradhar Sharma, think the *Śraddhotpāda* was the first of all *Mahāyāna sūtras.* This is far from an accurate assumption; there is no historical proof to support the inference that the treatise was written in the first century A.D., as Sharma contends. And even if it were true that a certain Aśvaghoṣa did write it, the question about the probability of different historical Aśvaghoṣas would still remain. According to D. T. Suzuki and E. J. Thomas (and, more recently, Yoshito S. Hakeda) the Aśvaghoṣa of the *Śraddhotpāda* cannot be identified with the great Buddhist poet of the same name in the first century. Not only is the *Śraddhotpāda* too speculative and terse a work for a poet to have written; its doctrine about the character of the *ālaya* renders it implausible that it could have been written before the *Laṅkāvatāra-sūtra* (fourth or fifth cen-

tury) or before Asaṅga and Vasubandhu wrote their own inconsistent treatises. The account of the *ālaya* in the *Awakening of Faith* is so intrinsically Kegonian in character that, at least logically, it belongs to a far more advanced phase of development. In fact, with the exception of the *Avataṃsaka sūtras* there is no scripture loved so deeply by Kegonian thinkers as the *Mahāyānaśraddhotpāda*; and Kuei-feng Tsung-mi is a prime example of it.[17] In reference to the historical date of the appearance of the *Śraddhotpāda*, it should be also said that there are grounds to believe that this work was not written in India and that therefore its attribution to any Aśvaghoṣa is a faked one. There are no extant Sanskrit versions of this work and absolutely no historical reference that would prove that there ever was one. There is a well-founded theory that this is an original Chinese text throughout, and that its attribution to Aśvaghoṣa was only spuriously added as a way of providing stronger authority to its doctrines. Whatever the historical facts were, the text has been taken as the foundation for most of the progressive conceptions of the *Hua-yen* school.

As well as the *Śraddhotpāda*, the *Laṅkāvatāra-sūtra*[18] itself also resists any attempt to date its origin before the fourth century A.D. If it already existed at the time of Asaṅga and his brother, then it is strange that they ignored it. In addition, the *ālaya* doctrine of the *Laṅkāvatāra* shows clear-cut progress in regard to the notion conceived by Asaṅga and Vasubandhu. The unitary and universal character attached to the *ālaya* and its unreserved identification by the *sūtra* with the "nirvanic" absolute mind in itself make it very difficult to think of this work as the creation of a spontaneous and isolated thinker. The fact that the *sūtra* proposes the very same transformation of the *ālaya* into seven subordinate types of consciousness makes the idea linking its basic views to the writings of Vasubandhu a very plausible one. What else can account for the coincidence of the *sūtra* with Vasubandhu's proposal of the same series in number and quality of transformations within the *ālaya*? If Vasubandhu relied upon the *Laṅkāvatāra* for his version of the eight consciousnesses, he could not have insisted on confining the *ālaya* to the realm of conditioned being, which clearly runs counter to the doctrine of the *sūtra*. Eventually, the entire content of the *Laṅkāvatāra* was to be viewed by Kegonian thinkers as a mature phase of speculation and as a significant advance in the dialectical con-

ception of Buddhism: it is also significant that the *Laṅkāvatāra*, despite its large amount of speculative thinking, became one of the favorite *sūtras* of the *Zen* masters. Logically, its conception of the *ālaya* as identical with the Absolute ultimate reality realized in *nirvāṇa* implies definite progress in regard to the mere elementary, faltering, and more immature doctrines of Asaṅga and Vasubandhu. Thus, unless proof to the contrary can be found, the *sūtra* should be accepted as having appeared logically later than the doctrine of the brothers Asaṅga and Vasubandhu, since there is no evidence to indicate that it existed before their time.

One of the most curious aspects of the doctrine of the *Laṅkāvatāra* is the comparison of the *ālaya* to the infinity of the ocean on whose surface "the waves roll on permanently," aroused by the winds of ignorance, but the depths remained unmoved, that is the *ālaya*-body itself "subsists uninterruptedly, quite free from fault of impermanence . . . and thoroughly pure in its essential nature."[19] The waves of the ocean symbolize the arising of a plurality of personal egos, which radiate from their corresponding "thought centers" (*kliṣṭamanas*). These develop in the very midst of the *ālaya*, which, reflecting upon them, erroneously takes them for its own substantial and particular ground. From within, the other subservient kinds of awareness (the *manovijñāna*, as perception center, and the five sensorial cognitions) are produced. These seven layers of personal and individual consciousness (*pravṛttivijñānas* or *citta*) are merely manifestations of the *ālaya* itself. At this point a touch of dialectical insight comes to the fore: these personal consciousnesses are both identical with and nonetheless different from the *ālaya*. "They are neither different nor not-different: the relation is like that between the ocean and its waves. So are the seven Vijñānas joined with the Citta (mind). . . . As there is no distinction between the ocean [*ālaya*] and its waves, so in the Citta there is no [real] evolution of the Vijñānas."[20]

Thus the *ālaya*, according to the *Laṅkāvatāra*, embodies two dialectical aspects: (1) the aspect of self-identity and (2) the aspect of difference within this identity, namely, universality and particularity merging into identity in the singular all-comprehensiveness of enlightenment and realization. The equivalence between the pure self-identical character of undifferentiation with *nirvāṇa* is made clear and

explicit in the second chapter: "Nirvaṇa is the Ālayavijñāna, where a revulsion [a returning to identity] takes place by self-realisation."[21] In the explicit development of the ultimate transcendency of the *ālaya* to a more ontological formulation, the *sūtra* identifies the *ālaya* with the concept of the *Tathāgata-garbha*, the "matrix or womb of the Thus-Come One." The latter is one of the most cherished Kegonian expressions; it designates the ultimate reality of the Buddha-nature itself (*tathatā* or suchness) as the very medium in which the whole body of manifestation is conceived and formed.

The *Laṅkā*, however, leaves a vital aspect of its doctrine shrouded in deep mystery. This is the question concerning the character and origin of the agency that "stirs the waves of change" upon the ocean of the *garbha*. This agency is metaphorically designated as the "winds of ignorance." What principle are these "winds" related to? What is the ontological status of this principle as primordial stimulator of the growth within the "womb" (*garbha*) of the *ālaya*? Is it extrinsic to the *garbha*, in which case the latter is not ultimate; or is it internal to the *garbha*, in which case it is the very source of error and of its subsequent evils? These enigmas—as will be shown—seem to obtain a better solution within the dialectical context of the *Mahāyānaśraddhotpāda*.

Otherwise the *Laṅkāvatāra* hints at an epistemological difference between the *ālaya* and the *Tathāgata-garbha* that is of further dialectical significance. The *Tathāgata-garbha* is the "body" of the *ālaya*;[22] it is, as previously suggested, the ontic aspect of the *ālaya*, the body of absolute reality, the Absolute in itself; whereas the *ālaya* refers to the cognitive aspect of this body. In the words of the *sūtra*: "The Tathāgata-garbha known as Ālayavijñāna evolves together with the seven Vijñānas."[23] There are at least five allusions to the *Tathāgata-garbha* throughout chapter 82 (221, 222, 223) of the *sūtra*, which say that it is "known as the Ālayavijñāna." At the end of the chapter the terms are paired together, giving the sense of complete unity: "This realm of Tathagatahood which is the realm of the Tathāgata-garbha-Ālayavijñāna"; "in the understanding of this Tathāgata-garbha-Ālayavijñāna";[24] and so on. According to Edward J. Thomas, "It becomes superfluous to ask whether this mind or store-consciousness [*ālaya*] is universal or individual. It is conceived as the one reality

beyond all differentiation. . . . This is the Tathāgata-garbha . . . in which all reality and difference is embraced."[25] Therefore, the identification between the *ālaya* and *Tathāgata-garbha* in the *sūtra* implies that the *ālaya* is fundamentally the "known-ness" or intrinsical "self-reflectedness" of the *garbha* in the absolute awareness of its own absolute reality. If the *Tathāgata-garbha* were to be compared to the Hegelian *idea "in itself,"* the *ālaya* would be translated as the *idea "for itself,"* as the progressive realization of absolute Spirit. (Of course, the comparison must be loosely understood, since the Hegelian absolute Spirit becomes aware of itself in human consciousness through the freedom of its own creations in art, religion, and philosophical thinking rather than through mystical realization.) If the *Tathāgata-garbha* is considered as the universal "matrix" or *storehouse of all reality* in itself, including both its *nirvāṇa* and its *saṃsāra* aspects, the *ālayavijñāna* must be considered as the *storehouse of all knowledge*, including the relative and individual knowledge produced by the operations of the seven *vijñānas* and the absolute knowledge gained through enlightenment.

In phenomenological terminology, one could say that if the enlightenment is the noetic aspect of the *ālaya* after its purification from the activities of the seven consciousnesses, the *Tathāgata-garbha* is its ontic aspect. The *ālaya* resides in the very "knowability" of the *Tathāgata-garbha*: if it differentiates and particularizes itself through the transformation of the seven *vijñānas*, it does so in accordance with the evolutionary development of the "seminal reasons," within the "matrix" itself. Evolution of the Spirit, according to Hegel, passes through the different stages of subjectivity and objectivity, from mere feeling to proper consciousness, from consciousness of externality to self-consciousness, from self-consciousness to universal consciousness, from universal consciousness to the objectivation of right and society, and from this objectivation to the total apprehension of itself as pure thought. Likewise, the evolution of the *ālayavijñāna* appears through the subjective-objective transformations of relative knowledge and through a process of progressive and finite self-awareness and self-knowledge that culminates in the perfect truth of total self-reflectedness and supradualistic knowledge. This represents the comprehension of the totality of "identity-in-difference," which is the *Tathāgata-*

garbha. In the final analysis, this is also the doctrine of the *Mahāyāna-śraddhotpāda-śāstra.*

The *Mahāyānaśraddhotpāda-śāstra* (Awakening of faith in the Mahāyāna) furthers the synthesis and systematization of "mahayanistic" doctrines as later accepted by the *Kegon* schools. The *śāstra* does not mention the explicit term *ālayavijñāna* very frequently, and certainly not as often as the *Laṅkāvatāra* does; however, the concept of the *Tathāgata-garbha* is dealt with generously. Because the *śāstra* is one of the basic texts for the Kegonian elucidation of the character of the *ālaya,* the reader is somewhat disappointed when he finds so little about the peculiar "storehouse." A closer look, however, will convince the reader of the *śāstra* that the universal conception of the *ālaya* (in the way propounded by the *Laṅkāvatāra*) underlines the entire stream of thought. The following text occurs in part 3, chapter 1, where the identification between *ālaya* and the *Tathāgata-garbha,* as well as the noetic or cognitive character of the *ālaya* with regard to the more "ontical" character of the former term, is clear and unquestionable: "The Mind as phenomena (samsara) is grounded on the *Tathāgata-garbha.* What is called the Storehouse Consciousness is that in which 'neither birth nor death (nirvana)' diffuses harmoniously with 'birth and death (samsara),' and yet in which both are neither identical nor different. This Consciousness has two aspects which embrace all states of existence and create all states of existence. They are: (1) the aspect of enlightenment, and (2) the aspect of nonenlightenment."[26]

According to a recent translation of the *śāstra* (*Ta-ch'eng ch'i-hsin lun*; Jap.: *Daijō-kishinron*) by Dr. Yoshito S. Hakeda, the understanding of the meaning of the term *Tathāgata-garbha* is of extreme importance as a clue for the proper comprehension of the entire *śāstra.* This is absolutely correct in the main; however, his explanation may not be very helpful for the comprehension of the text, at least as understood and commented upon by the *Kegon* schools. According to Dr. Hakeda, "The state of man, who belongs intrinsically to the Absolute order and yet in actuality remains in the phenomenal, finite, and profane order, is expressed in terms of the *Tathāgata-garbha* or 'Matrix of Tathāgata'. . . . The word *garbha,* meaning a matrix, germ, or embryo, symbolizes the receptacle of *Tathāgata* or the Absolute. *It is Suchness in man, the Buddha-nature which is a part of the intrinsic*

nature of all men, the element of original enlightenment, the potentiality for salvation that waits to be actualized."[27] This interpretation of the term *Tathāgata-garbha* is certainly correct and original; but it is not by any means exclusive. Although originally conceived as a term implying pure potentiality to enlightenment, as the womb for the conception of Buddhahood within the very individual nature of each man, the *garbha* can be understood also as connoting the very "absolute body" (*Dharmakāya*) from which everything is "thus come," or in other words, possesses the Buddha-nature. The first sense implies "potential enlightenment" within the individual. The second, however, implies "potential causation" within the universal. It is the second, universalistic interpretation that is generally used in Kegonian contexts.

Although the *Laṅkāvatāra-sūtra* uses both terms—the *Tathāgata-garbha* and the *ālayavijñāna*—in the second, universalistic sense, there is an early mention of the *Tathāgata-garbha* that seems to imply the first, the more restricted and individualistic conception. At the end of chapter 1 the *sūtra* says: "By tranquillity is meant oneness (*ekāgra*), and oneness gives birth to the highest Samādhi, which is gained by entering into the womb of Tathagatahood, which is the realm of noble wisdom realised in one's inmost self."[28] But this use only indicates that the twofold meaning of the term was well known to the author of the *Laṅkāvatāra*. If one carefully notes that the first chapter is an exposition concerned more with the need for mystical knowledge than with the metaphysical questions of the *ālaya* and the Buddha-nature itself (as, for instance, chapter 6 on the *Tathāgata-garbha* eminently is), then one should not be surprised that the *sūtra* assigns two meanings to the one word.

The primary aim of the above digression is to point out that the application of the universalistic conception is already predetermined by the rather metaphysical character of the *Śraddhotpāda* text itself. The first individualistic and subjective signification would not make much sense in the context in which the *garbha* is equated with the very ground of *saṃsāra*: "The mind as phenomenal (*hsin sheng mieh*; Jap.: *shin-shōmetsu*) is based on the *Tathāgata-garbha*."[29] It is only in the universalistic sense of "Buddha-nature as such" that the *Tathāgata-garbha* may be proposed as ontic *ground* and ultimate rea-

son for the being of the individual, impermanent *citta* (thought or mind). The *garbha* of the *Tathāgata* (in the first individualistic sense), as the womb for enlightenment, would be equated with "original" absolute knowledge (*pen-chüeh*; Jap.: *hongaku*) (original knowledge without beginning or end) understood as underlying the relative human individual nature; and in this sense it would constitute the basis for the subjective development of truth (*shih-chüeh*; Jap.: *shikaku*—knowledge that has a discrete beginning or "enlightenment"), rather than the basis for the actual causation process of the "samsaric" world. The universalistic use is also conspicuous when later (in the third part of the *śāstra*) the *Tathāgata-garbha* is equated with the absoluteness of "suchness" and with the absolute universal *Dharmakāya*: "Since the 'true suchness' [*chen-ju*; Jap.: *shinnyo*][30] is endowed completely with all these [attributes of Buddhahood] and is not lacking anything, it is called the *Tathāgata-garbha* (and also the *Dharmakāya*[31] of the *Tathāgata*)."

Unquestionably, one of the most decisive chapters of the *śāstra* is the second, in which the scripture attempts to correct certain erroneous views of the *Tathāgata-garbha*. Not only the universalistic sense of the term comes to the fore here, but also a completely new aspect, which is alien to the *Laṅkāvatāra*'s conception. This significant part of the *śāstra* develops the interrelated meanings of three important terms: the first refers to the concept of "suchness"; the second to the function of the "perfuming," or "permeation"; and the third to the notion of the *Tathāgata-garbha* as an attribute of suchness.

It is clear that "true suchness" or "true thusness" (*tathatā*) carries a purely ontological connotation: it is reality in itself, whereas the *Tathāgata-garbha* seems to refer to the inner potentiality based on that reality, and thus would contain a "functional" aspect: "True thusness" as potentially active would constitute the *garbha* (matrix) of everything. Now, if "true thusness" is potentially active and as such is potentially "thus come" to manifest itself (*Tathāgata*; Chin.: *ju-lai*; Jap.: *nyorai*), then where does the principle of its activation reside: in the terminology of Asaṅga, and also as used by the *śāstra*, this principle is the "karmic perfuming," or, as Hakeda correctly translates it, the "permeation" (*vāsanā*; Chin.: *hsün-hsi*; Jap.: *kunjū*).[32] If this permeation, "which sets into action the potentiality of *tathatā* (true thus-

ness), were to issue from an alien agency, then no significant difference would separate the *Mahāyānaśraddhotpāda* from the *Laṅkāvatāra-sūtra.*[33]

But this "permeation" or "perfuming" of "true thusness" is not attributed to an alien agency. In the context of the *śāstra,* "true thusness" permeates itself. If the word "permeation" (as "activation") were translated into the more technical terms of "determination" or "limitation," then the result would be that ultimate reality (as true thusness, suchness) would be "such" because it *self*-determines or self-limits. This would entail that *tathatā* would be a "true" infinite in the Hegelian sense, an infinite that is "such" because it includes the finite within itself; and it includes the finite, because it *self*-determines, and by self-determining, it bears its own determinations within itself. Thus the very "infinity" and "all-comprehensiveness" of the Absolute would consist precisely in this self-determination, just because in its unrestricted, infinite freedom, the Absolute disposes dialectically of itself as a living IDEA, without the intervention of any nonideal, extraneous factors. The result is that causation then becomes the absolute function of ideal self-determination.

How does the *śāstra* teach this doctrine? Of course, not in explicit Hegelian terms. But in corresponding terms the dialectical approach to causation is clear. According to the text, there are two kinds of elemental "permeation," and this double "permeation" will reflexively reconstitute the identity of a departing unity from its negation into the "negation of its negation": there is on one side the "permeation of ignorance" as permeating "true thusness." As a dialectical sequence involved in such "permeation of ignorance" (that is, the negation of illimitation), the "permeation of true thusness" now permeating ignorance will take place on the other side (this becoming the negation of the "negation of illimitation"). This reflexive, two-sided "permeation" represents a climax in Buddhist dialectics, to be more explicitly formulated first by the Chinese School of *Hua-yen* (Jap.: *Kegon*) and later by the *Sōtō* branch of *Zen* Buddhism.

According to the *śāstra,* this dialectic of reflexion takes place because this twofold "permeation" of *ignorance into suchness,* and *suchness into ignorance* operates "through the manifestation of its own essence";[34] this means that suchness or true thusness "is provided with

suprarational[35] functions and the nature of *manifesting itself* [*by positing* the world-object]. Because of these two reasons it permeates perpetually (into ignorance)."[36]

In other words, by *positing the world-object*, "true thusness" posits limitation of knowledge: thus ignorance permeates "true thusness." But since positing the world-object is for "true thusness" like "manifesting its own essence" and since its essence is knowledge, thus knowledge permeates into ignorance and returns to itself. Thereby the double "permeation" results in a reflected *self-permeation*. Ignorance therefore is not extraneous to "true thusness," but it represents a necessary side in the process of perpetual realization of knowledge as for itself. This is why the *ālayavijñāna*, which is nothing but the *garbha* (matrix) giving rise to consciousness of "finitude" in the first permeation and to consciousness of "infinitude" in the second, is said to contain both "knowledge" (*chüeh*; Jap.: *kaku*) and "nonknowledge" (*pu-chüeh*; Jap.: *fukaku*)[37] without the least trace of contradiction (*chen-wang-shih ho-ho*; Jap.: *shinmō shiki wagō*).[38]

The *Mahāyānaśraddhotpāda* seems to hold that although the *ālayavijñāna* must be considered as containing both the seeds of "enlightenment" and "nonenlightenment," and also the seeds of "purity" and "defilement" in itself, the same viewpoint cannot be held of the *Tathāgata-garbha*, at least not without proper clarification; for the "defilement" of many states of *saṃsāra* are due not to the ontological ground from which all varieties of "*saṃsāric*" being ultimately originate. From this viewpoint, in the very intrinsical entity of the transformations within the *garbha* there is no such thing as defilement and purity. Those terms are connotative of consciousness as such; and it is within the false discrimination of the seven *vijñānas*—and especially of the *kliṣṭamanas* (thought center)—that their activities result in the "attachment" to the world-object which formally results in "defilement." Defilement and purity (in themselves) are qualities that formally develop in the cognitive aspect of the *Tathāgata-garbha*, namely, the *ālayavijñāna*.

Another consideration should be added in order to make the philosophy of the *śāstra* more akin to the dialectics of *Kegon* and to show an even closer parallel with the Hegelian concept of the "idea in itself" (as corresponding to the *garbha*); although it is the very root of

Nature (as "the idea outside itself") and in this sense the very "womb" of its conception, it is not responsible for, and furthermore does not contain, the evil sides and the estrangement from rational order that are shown in the errors of Nature. In Hegelian terms, the "outsidedness" or the externality of the IDEA as it is estranged from itself, and not the "idea-in-itself," is the one to account for evil; and it is the particularity of the subjective spirit estranged from its own innate and infinite universality that makes it pursue finite and egoistic aims, and thereby makes it the immediate source of moral deviations. In the next sections the basis for a better understanding of the character of this "outsidedness" of finite objects and of the world itself, as conceived in the Buddhist idealistic schools and later dialectical schools, will be provided.

A summation of the latent conceptions in the theoretical content of the *Mahāyānaśraddhotpāda* follows. Reality, as entitatively considered in itself, is *tathatā* (thusness). "Thusness" considered as containing the potential roots of differentiation is *Tathāgata-garbha* (or *ālaya* "in itself"). The process of relativization consisting in the development of the seven layers of finite consciousness and their projection of an outer world is called *saṃsāra* (*lun-hui*; Jap.: *rinne*)[39] and dialectically corresponds to the *ālaya* "out-of-itself." The self-reaffirming identity between thusness and the "outsidedness" of multiplicity as a harmonious whole of self-contained totality is called the *dharmadhātu*, which corresponds to the Kegonian concept of interpenetration (*shih-shih wu-ai*; Jap.: *jiji-muge*);[40] and finally, the *Tathāgata-garbha*, as the dimension for progressive world-awareness and self-awareness towards the pure-thought realization of its intrinsic identity-in-difference is the *ālayavijñāna* (or *ālaya* in-and-for-itself). Nothing is more remote from the dissecting and analytic efforts of Vasubandhu than the all-comprehensive insights of the author of the *Awakening of Faith*. There is nothing amazing in the fact that the *Kegon* schools, whose doctrines were originally based in the figurative poetic descriptions of the *Avataṃsaka Sūtras*, took this text as their theoretical enchiridion.

Since enough has been said about the Indian process in the evolution of the concept of the *ālayavijñāna*, an examination of the process undergone by the *ālaya* in Chinese Buddhism will follow. There was much controversy in the sixth and seventh centuries within the Chi-

nese *Fa-hsiang* schools: the Chinese *Vijñānavāda* split into two groups —one relying upon the literal interpretation of the writings of the founders Asaṅga and Vasubandhu; the other (the New School of Hsüan-tsang) relying upon the more universalistic ideas of the commentators and translators. The dissection of human consciousness continued until a minutely detailed phenomenology, which in some ways foreshadowed the Husserlian analysis and terminology, was developed. However, before entering such questions, it is necessary to anticipate a doctrine that is the general presupposition common to the idealistic and dialectical schools: the doctrine of the Three Natures.

3

The Trisvabhāva (Three Natures or Three Degrees of Self-being) Scheme of the Vijñānavāda Ontology

The *Trisvabhāva* (Chin.: *San-hsing*; Jap.: *Sanshō*) doctrine is of the utmost importance in the development of *Mahāyāna* Buddhism. Originally it was an idealistic doctrine underlying the theoretical structure of the "mind-only" (*Vijñānavāda*) schools both in India and in China. With certain modifications this doctrine was also to be expounded in a more dialectical way by the *Kegon* schools.

This doctrine can be traced back to a work by Vasubandhu entitled the *Trisvabhāvanirdeśa* (Exposition of the three natures), which can be found amongst the chapters of the already mentioned *Triṃśikā* of the same author. Another outline of the doctrine is found in a Chinese translation by Hsüan-tsang, the famous founder of the new *Fa-hsiang* school (*Saṃdhinirmocana-sūtra*; Chin.: *Chieh-shen-mi ching*; Jap.: *Gejinmikkyō*). Because the Sanskrit version has been lost, the source of the original exposition is not clear; but the same doctrine is also expounded by the *Laṅkāvatāra-sūtra* itself.

According to this doctrine, there are three fundamental categories of being which are both the "ground" for and "grounded" within the immanentist and self-contained sphere of thought. They are the equivalents of what could be called the "three densities in entitative value" or "three degrees of self-being." The first represents the shallowest density and is paramount to nonentitative value. The second corresponds to "medium" density and is depicted as "borrowing" its entitative value from the "third" one, the self-grounded ultimate identity of pure and absolute thought (*parinispanna*).

Parikalpita (*pien-chi so-chih-hsing*; Jap.: *hengeshoshūshō*)[41]

Parikalpita signifies mere imagination, "imagined being," as the shallow and null degree of entitative value that results from the activities of discrimination. Vasubandhu seems to imply that all the conditioned objective *dharmas* that present themselves to the activities of the eight consciousnesses are to be appraised as *parikalpita*, or mere imag-

ination. Soon afterwards, one of the main theoretical scriptures of the *Fa-hsiang* schools, the *Vijñaptimātratāsiddhi* of Dharmapāla (*Ch'eng wei-shih lun*; Jap.: *Jōyuishikiron*) made the phenomenological distinction between *vikalpa* (*neng-pien-chi*; Jap.: *nōhenge*), or discriminating activity (corresponding to Husserl's noetic activity or *noesis*), and *yad-vikalpyate* (*so-pien-chi*; Jap.: *shohenge*),[42] or the "discriminated," that is, the content of the discriminating activity as such (the Husserlian *noema*). According to Vasubandhu, the whole constitution of the object in consciousness is caused by false discrimination and consequently is equal to void imagination. Further evolved idealistic thought (the new *Fa-hsiang*) will add subtle distinctions which will restrict the sphere of the *parikalpita* realm and simultaneously amplify the original range of the second class (*paratantra*) of "entitative value."

Paratantra (*i-t'a-ch'i hsing*; Jap.: *etakishō*)[43]

These are entities that, since they do not result from false discrimination, enjoy a relative entitative value of their own. These entities will be connected directly with the *parikalpitas* as their proximate bearers and immediate causes. Although they are not the direct products of mere imagination, their existence cannot be considered as independent and self-sufficient: the being of the *paratantras* is proximately interdependent. There is a type of dependence between them, a "leaning-on-each-other-in-order-to-be"; and ultimately this correlational, interdependent totality is reduced to an absolute dependence upon the final and absolute degree of being. It follows that this second level of "quasi-real entities" borrows its degree of reality, proximately from each other and ultimately from the supreme, self-sufficient, infinite, and self-grounded being of pure thought. Vasubandhu seemingly reduced the range of the *paratantras* to the subjective self-nature, as presented in the interdependent arrangement of the eight consciousnesses included in each human being. Therefore, according to Vasubandhu, the realm of objective being is mere *parikalpita*; the realm of subjective being is *paratantra*; whereas the realm that transcends the subject-object dichotomy as pure thought and "immaculate" consciousness will be the *parinispanna*.

Parinispanna (*yüan-ch'eng shih-hsing*; Jap.: *enjōjisshō*)[44]

As stated previously, Vasubandhu, even after he became an idealist, never dispensed with the Hinayanistic *anātman* theory, which considers the ego as pure illusion. The ego, as the manifestation of subjectivity through the transformations of the eight consciousnesses, has an illusory function, and is itself just an illusion. The relative being of its ontological ground (*kliṣṭamanas*) is also inconsistent: for the existence of subjectivity as individual and particular (*paratantra*) is altogether relative and dependent. Because it "leans on others" in order to be, it is doomed—at least according to the *Fa-hsiang* schools—to annihilation. Therefore, the dogma of impermanency remains intact. The destruction of its illusory functions marks its own downfall and its vanishing into the ultimate realm of the perfect reality (*pariniṣpanna*, which is literally translated as "roundly [that is, fully] achieved real nature"). It is the very realization of this state that constitutes the unconditioned *dharma* of *nirvāṇa*. This is the perfect reality, which, in the Kegonian terms of the *Mahāyānaśraddhotpāda*, will be identified with the reality of suchness and the *Tathāgatagarbha* itself.

From the more simple and naïve conception of Vasubandhu till the dialectical all-comprehensiveness of the *Kegon*, the notions of the "threefold nature," especially in the new *Fa-hsiang* school of Hsüan-tsang, will undergo a series of reformulations. This school offers a more subtle distinction between the terms *parikalpita* and the *paratantra*, and thereby opens the way for an improved phenomenological analysis of consciousness, a more objective brand of idealism, and a dialectical conception of the ultimate reality itself.

This difference between the old *Fa-hsiang* school (which remains faithfully subservient to the doctrine of the brothers Asaṅga and Vasubandhu) and the new *Fa-hsiang* is especially grounded in the difference in range of application given to the *parikalpita* and *paratantra* notions (as will be explained in the next two sections). Before proceeding with the exposition of these two groups of the Chinese *Vijñānavāda* (*Fa-hsiang* schools), one should take cognizance of the classical illustration used since antiquity in Buddhism in order to explain the roles of the Three Natures: this is the simile of the fool who

sees a rope in the dusk and thinks it to be a snake. A wise man appears and teaches him that he has nothing to fear, for the snake is a mere illusion created by a simple rope; and after all, the rope itself is nothing but a transient formation out of the originally formless material of hemp. Thus the snake signifies *parikalpita*; the rope, the *paratantra*; and the hemp, the *parinispanna*. Ignorance and the subsequent error cause man to believe his ego and the "object-world" to be real and to contain permanent substances (*shih-wo shih-fa*; Jap.: *jitsuga-jippō*).[45] Enlightenment allows the realization that the subject-ego has no permanent reality in itself; rather, its purposiveness is merely a transient and evanescent formation of the ultimate source of consciousness and pure thought. According to Asaṅga and Vasubandhu, the object-world does not even enjoy this degree of transient or borrowed reality: the world is pure illusion.

4
The Role of the Ālayavijñāna According to the Ancient Fa-hsiang School of Paramārtha

Paramārtha, Kumārajīva, and Hsüan-tsang (Jap.: Genjō) are the group of translators of Sanskrit texts greatly credited for the introduction of *Mahāyāna* philosophical Buddhist thought into China. Most probably Paramārtha was born in Ujjayinī, a city in which a very important Buddhist center (Valabhi) existed at the time. He traveled to China in 548 and began to translate texts (such as the *Abhidharmakośa* of Vasubandhu and the *Mahāyānasaṃgraha* of Asaṅga, and the *Mahāyānaśraddhotpāda*) into the Chinese language. However, it was not because of the translation of the great *śāstra* that he was considered as the founder of the first idealistic Chinese school. The proper understanding and interpretation of this difficult and subtle but highly significant *śāstra* was to be the task of the Kegonian thinkers. Asaṅga's simpler thought patterns entered the Chinese minds first, and his *Saṃgraha* became the basic scripture of the first Idealistic school (*Fa-hsiang*; Skt.: *Dharmalakṣaṇa* school, the school "about the character of the *Dharmas*"). For this reason this school was called the *She-lun* (Jap.: *Shōron*),[46] as the school primarily relying on the *She-ta-ch'eng-lun* (Jap.: *Shōdaijōron*,[47] the *Mahāyānasaṃgraha* text of Asaṅga).

It is curious to note that although Dharmapāla probably translated the *Triṃśikākārikā* (Thirty verses) of Vasubandhu, and although certainly this text was also used by the *She-lun* school, this work was to become more representative of the new *Fa-hsiang* school of Hsüan-tsang. Ironically, the works of Vasubandhu clearly favor individualistic and relativistic interpretations of the *ālaya*, which eventually will be incorporated as the central conception of the *She-lun* or Ancient *Fa-hsiang* School. Certainly the fact that Vasubandhu became more of a central figure for the new school was not due to the literal interpretation of his works, but to the "new ideas" incorporated under his name by some of his interpreters and translators such as Dharmapāla and Hsüan-tsang. This curious phenomenon will be treated later when the tenets of the new *Fa-hsiang* (Jap.: *Hossō*) school are expounded.

With the explanation of the Three Natures Doctrine, the central

thesis of the *She-lun* (old) school has been presented. Now a more detailed account of its teachings concerning the character of *ālaya-vijñāna*—or as Paramārtha designated it by a mere transliteration of the Sanskrit sound into Chinese, the *a-li-yeh shih* (Jap.: *ariya-shiki*)[48]—will be undertaken. It should be noted in advance that Hsüan-tsang prefers the more accurate transliteration of *a-lai-yeh shih* (Jap.: *araya-shiki*), whereas some Kegonian thinkers (for example, Tsung-mi) will prefer to use the older transliteration *a-li-yeh shih*, very probably on account of their reliance on Paramārtha's translation of the *Mahāyānaśraddotpāda*.[49]

As stated previously, the keynote of the *She-lun* school is its individualistic conception of the *a-li-yeh shih*. According to that school, the *ālaya*, notwithstanding its role as ultimate correlate of all modes of finite consciousness, is by the same token the very first of all *paratantras* (*i-t'a-ch'i hsing*; Jap.: *etakishō*). It follows that it is a relative entity, a transient principle of individuality that exists only "by reliance" or dependence upon the "*pariniṣpanna*" as a transformation thereof. By relying upon the doctrine of the *She-ta-ch'eng-lun* (Jap.: *Shōdaijōron*, or the *Mahāyānasaṃgraha of Asaṅga*), the school seems to imply that there are only eight specific types of *paratantras*, which correspond to the eight modes of consciousness. The individual *paratantras* would be as numerous as the many individual consciousnesses or kinds of sentient beings.[50]

The second most important aspect of this school is its focus upon the active role of the *ālaya* in developing both the remaining seven consciousnesses and the phenomenal world outwardly projected by their activities. Later this doctrine will be contrasted to Hsüan-tsang's doctrine of the new *Fa-hsiang* school, which seems to attribute a purely passive role to the *ālaya* when regarding the transformations (*pariṇāma*) that develop in its medium. Apparently the *She-lun* school (the old *Fa-hsiang*) derives its doctrine about the active and causative role of the *ālaya*, in regard to the deluded states of consciousness, from the term *pratibhāsa*, which is frequently used by Asaṅga in his *Saṃgraha*. This term, meaning "similarity" or "analogy,"[51] exhibits the relationship established by the dependency of the seven consciousnesses upon the *ālaya*, on one side, and the relationship of the deluded and tinged states of mind to these seven consciousnesses or *vijñānas*, on

the other. As a result of this presupposition the *ālayavijñāna* will be considered both as a thoroughly individual entity and as a principle of deception and delusion (*wang-shih*; Jap.: *mōshiki*).[52] This doctrine will be contrasted with the tenets of the new *Fa-hsiang*, which, although maintaining the universal character of the *ālaya*, will also deny any causative connection of the latter with the deceptive and polluting character of the conscious activities ensuing from the seven *vijñānas*: in the new *Fa-hsiang* school of Hsüan-tsang the *ālaya* will be ultimately *chen-shih* (Jap.: *shinjiki*),[53] or "truthful consciousness."

A third typical characteristic of the old (*She-lun*) school is the designation of the ultimate reality (*parinișpanna*), the "true thusness" (*tathatā*) of the Buddha-nature itself as the "ninth unpolluted" consciousness, the universal source of enlightenment and infinite knowledge. As propounded by the translator Paramārtha, this universal principle will be designated as *amalavijñāna* (*a-mo-lo shih*; Jap.: *amara-shiki*),[54] the undefiled consciousness.

In summary, the typical tenets of the old-school followers are nine cognitive principles (or consciousnesses), of which eight are responsible for individual and finite individual manifestations of the deluded mind. The ninth is the seat of transcendental awareness and pure thought as realized in the "nirvanic" state:

Five Senses	1. Visual consciousness: *cakșurvijñāna*
	2. Auditory consciousness: *śrotravijñāna*
	3. Odor consciousness: *ghrāṇavijñāna*
	4. Taste consciousness: *jihvāvijñāna*
	5. Touch consciousness: *kāyavijñāna*
Two Control Faculties	6. Sense-center consciousness: *manovijñāna*
	7. Thought-center consciousness: *klișțamanovijñāna*
	8. Storehouse consciousness: *ālayavijñāna* [or Basic consciousness: (*mūlavijñāna*)]
	9. Undefiled consciousness: *amalavijñāna*

The three main characteristics of the *ālaya* are:

1. It is an individual principle and, furthermore, the very basis of the dependent nature (*paratantra*) as given in human existence.

2. It exercises an active role in developing the illusory projection of the phenomenal world from within itself, and thus it is considered to be of an intrinsically deceptive and polluting character (*wang-shih*; Jap.: *mōshiki*).
3. The *ālaya*, still individual and delusive in character, demands an ultimate consciousness as the transcendental recess for all finite knowledge. It is the pure basis of undifferentiated thought, namely the *amalavijñāna*.

As has already been suggested, the school seems to derive most of its phenomenological theories of finite knowledge from the term *pratibhāsa* as used by Asaṅga and strictly interpreted by the translator Paramārtha. A recent Japanese Buddhist scholar, Ueda Yoshibumi, has published a rather terse and concise, but clear, monograph comparing the various doctrines of the *Wei-shih* (Jap.: *Yuishiki*) school. This booklet, *Yuishiki shisō nyūmon* (Introduction to the Thought of the Consciousness-only School),[55] devotes a very interesting chapter to the comparison between the *pratibhāsa* conception of Paramārtha and the *pariṇāma* conception of Dharmapāla and Hsüan-tsang of the new *Fa-hsiang* school. A summation of the main ideas concerning the *pratibhāsa* conception, which relies on the *Saṃgraha* text and on Ueda's commentaries, follows.

In the original Sanskrit, *pratibhāsa* means "appearance," "analogy," or "similitude."[56] It is difficult to see the correct application of the term within the context of the *Mahāyānasaṃgraha-śāstra* itself. The "analogy" or "similitude" seems to refer to the relationship between cause and effect. It follows that Paramārtha was of the opinion that Asaṅga intended to use this term to strengthen the aforementioned active character of the *ālaya* in regard to its subordinate consciousnesses and their contents. However, it is questionable whether the "analogy" or "similitude" lies (1) between the *ālaya* itself and its immediate subjective effects (namely, the seven *vijñānas*); (2) between the *ālaya* as fundamental consciousness (*pen-shih*; Jap.: *honjiki*;[57] Skt.: *mūla-vijñāna*) and the illusory objects or contents (*parikalpita*) of its subordinate consciousnesses; or (3) between the seven *vijñānas* themselves (as proximate principles of delusion) and their own contents resulting from their respective functions. Returning to the popular simile

of the *Vijñānavāda* schools, one may say that a similarity lies between the rope and the snake; the "rope resembles the snake," or, even better, the "rope appears to be a snake"; the effect of the illusion resembles its own cause: here there is a resemblance of the exterior form of both. But the simile also suggests another resemblance between the rope and the hemp, though this time the resemblance is intrinsic to the nature of the rope itself; but since the difference that underlies the analogy is merely a purely external and accidental form, this resemblance will prove to reside in an inner identity. In the final analysis the substratum remains essentially unchanged.

When one remembers the mere illusory character of all the contents of consciousness in itself, it is quite difficult to posit a proper analogy between the contents as *parikalpita* (*pien-chi*; Jap.: *henge*) and their immediate or proximate principles, the *paratantras* (*i-t'a-ch'i hsing*; Jap.: *etakishō*, the seven consciousnesses). A clear resemblance between the snake (as *parikalpita*) and the rope (as *paratantra*) exists. There remains the question of the specific kind of resemblance that can be detected between a principle of consciousness and its contents, though not on the same level as that suggested by the analogy between the snake and the rope but rather the one between the rope and the hemp. It could be said that a metaphysical kind of analogy (comparable to the one advocated by the medieval scholastics) between the genus and the different species could be said to mediate between the formal and general medium (as *ālaya*) for each of the *vijñānas* and the specific particularizations of this general medium as the functions that "bring forth" the "illusory" entities of the world.

This notion could be exemplified by the instance of analogy between the generic experience of light and the experience of each one of the colors, the generic experience of voice-sound and the different sounds of the alphabet, or (to use more phenomenological terminology) the reflexive awareness of the ego objectifying itself as the general presumptive horizon of all particular thoughts and objects, and these very thoughts and objects as such. Then this would be the similitude mediating between the *paratantra* "thought-center" (*kliṣṭamanas*) and its own thinking activities. This variety of metaphysical analogy, which resolves itself into the universal analogy of the very cencept of Being as it applies to particulars is too metaphysical and abstract a

conception. It is completely alien to the patterns of Eastern thought and is deprived of significance for the Oriental thinker and, *a fortiori*, for the follower of the less speculative trend of thought that characterizes the *She-lun* school.

Therefore the *pratibhāsa* conception must apply to other levels of similitude. It must apply to the *ālaya* itself, to the ultimate causal relationship that exists between it and the illusory appearance of the world. There must be something in the intrinsic nature of the *ālaya*, something quite concrete and singular, which renders the *ālaya* similar to the world of delusion and by the same token makes it "similarly" delusive and polluted. These concrete and singular specifications of the *ālaya* reside in the "seeds" that it stores, fosters, and vitalizes. The totality of the "seeds" is called the "perfuming" or "permeation" (*hsün-hsi*; Jap.: *kunjū*)[58] of the *ālaya* by the remnants of past actions (*karma*). This manifold "perfuming" becomes the leading principle of the activities that bring about the dependent existence (*paratantra*) of the seven *vijñānas* and the "illusory" existence (*parikalpita*) of the phenomenal world. This "permeation" (*hsün-hsi*; Jap.: *kunjū*; Skt.: *vāsanā*) contains a concrete and perfect causal embryonic similitude of the world as it exists for each individual; for its activity carries the "hidden" images of the nightmare of individual life and the potential "seeds" (*chung-tzu*; Jap.: *shūji*;[59] Skt.: *bīja*) of delusion. In this sense the *pratibhāsa* relationship denotes a causal connection between the *ālaya* and its *māyā*-works of empty and insubstantial appearance.

According to Ueda Yoshibumi, Paramārtha's translation and commentary to the *Saṃgraha* of Asaṅga makes a distinction that is reminiscent of the Husserlian *noesis-noema* correlation. This is the aforementioned *vikalpa-yadvikalpyate* correlation. Paramārtha translates these terms as *neng-yüan–so-yüan* (Jap.: *nōen-shoen*).[60] The character *neng* (Jap.: *nō*) signifies faculty. The character *so* (Jap.: *sho*), although literally meaning place or site (otherwise in Jap.: *tokoro*), in psychological Buddhistic contexts is used to designate the intentional object of any cognitive faculty. In this manner, the *neng-so* correlation directly connotes the subject-object dichotomy. The character *yüan* (Jap.: *en*) (meaning "involvement," "relationship," "causal connection"), when added to the former correlation of characters as *neng-yüan–so-yüan* transforms the naturally "naïve" rela-

tionship between the two seemingly independent realities (the human noetic faculty and the external, in itself independent world) into a "phenomenologically" corrected one: the correlation becomes "noetic activity–objective content." The manifold of the worldly existences is considered only as mere phenomenal effect of the noetic or subjective activities, and not as having any other source of independent substantiality. In this sense, all the "contents" of consciousness are to be referred proximately—in accordance with their specific character—as to the respective productive forces of the seven *vijñānas.* Thus, there exists a strict causal correlation between the "contents" of the consciousnesses and their respective principles or *vijñānas.* Simultaneously, another causal correlation traces the seven *vijñānas* to the *ālaya.* However, this second causality is of a different nature than the first. The first causality is one that "outwardly" projects the results or contents of the noetic activities. It is the "phenomenalizing" causality, the one that immediately produces the "illusion" of an "outer" world as *parikalpita.* But the causality mediating between the *ālaya* and the seven *vijñānas* is the inward causality whereby the *ālaya* effectively brings about "within itself" the "real" evolution of seven subsidiary *paratantra* faculties. These "inward" effects are "real" (not merely "illusory"), although their "reality" is one of utter dependence upon the *ālaya,* as they are originated by its own immanent activity. But the *ālaya* itself is also a particularization of the ultimate "self-supported" reality of the pure and undifferentiated *tathatā,* or "suchness" (*chen-ju*; Jap.: *shinnyo*). "Ignorance" is the relativizing activity responsible for the appearance of the particularization and individualization of consciousness in the multitude of the *ālayas.* But although this substratum (*tathatā*) is admitted to be the very medium of its own immanent activity, it is not affected in any way or diminished by it. "Ignorance" pervades only its own immediate effect, the *ālaya,* and through it the remaining seven *vijñānas.* The totality of the eight *vijñānas* (including, of course, the *ālaya* itself) constitutes the subjective, "dependent" entities, which are termed *paratantra* (*i-t'a-ch'i hsing*; Jap.: *etakishō*). Thus, they are the bearers of the eight types of "subjective activities," the eight varieties of *neng-yüan* (Jap.: *nōen*), or (if using Husserlian terminology) the seven sorts of *noesis.*

Because *tathatā* is the ultimate and infinite realm of pure knowl-

edge, it does not directly produce the *ālaya*; rather, it provides its own substratum for the proper productive force of "ignorance." Therefore, *tathatā*, also known here as "immaculate consciousness" (*amalavijñāna*), cannot be considered as having *neng-yüan* (noetic activities). Lacking all "noetic activities," the *amala* or "unpolluted" consciousness *does not know* either the eight consciousnesses or any of the contents posited by them. It is precisely in this sense that it is eternally and immutably "pure" and "immaculate."

In accordance with the *pratibhāsa* conception of the *Mahāyānasaṃgraha*—and this is also Ueda's opinion—the *ālaya* is the first or root subject of *neng-yüan* (Jap.: *nōen*, noetic activities). The *ālaya* is a noetic subject,[61] and therefore is logically prior to any noetic activities as such. These noetic activities (*neng-yüan*) are other than the causal activities whereby the seven subordinate *vijñānas* are produced; the activities of "transformation" (*pariṇāma*) whereby *ālaya* produces the seven subordinate *vijñānas* are properly ontological activities rather than "cognitive" or "noetic" functions. If the *ālaya* has then *neng-yüan* (Jap.: *nōen*), this is not only because it "causally" brings about the seven other consciousnesses, but because *it "knows" them.* Through them—albeit indirectly, not per se—it knows the "illusory" contents projected by them. Thus, in the *pratibhāsa* context of Asaṅga, the *ālaya* "objectifies" the seven subordinate "subjects" of finite knowledge and makes them into "*parikalpita*," even though initially they are *paratantra* and always basically retain this character. They are made into *parikalpita* because the "objectivation" performed by the *ālaya* (in regard to the seven consciousnesses) results in the "illusory" projection of merely "dependent" subjective entities as "independent" and "permanent" ones externally manifesting themselves as "human body" in the "external world." Thus the seven *vijñānas* can be reckoned as *paratantra-parikalpita*, whereas the *ālaya* will be mere *paratantra*, and the "worldly" objective contents of the seven *vijñānas* will be mere *parikalpita*.

While the "dependent" existences of the eight *vijñānas* have their degree of "reality" as the "inward" result of immanent activities, the character of *parikalpita* as the result of a mere projection (which is a synonym of "objectivation") is one of "outwardness." "Objectivation" is equivalent to "externalization," which is thoroughly illusory

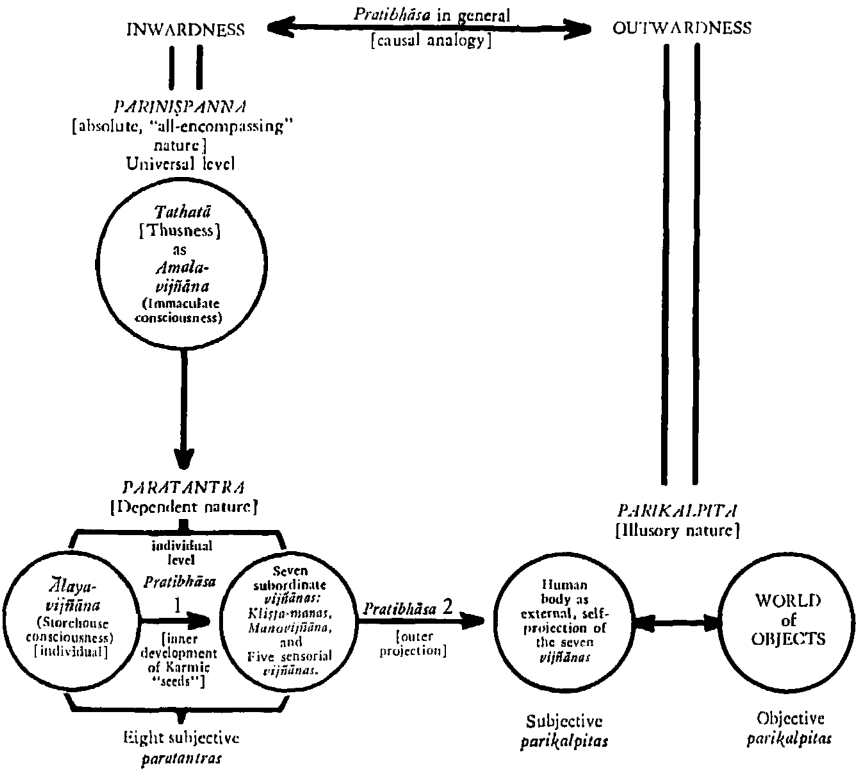
and deprived of inner reality in itself. "Reality" (including the pure consciousness of the *amalavijñāna*) is an "inward" reality, a self-containing one. This also applies to the dependent entities of the eight finite consciousnesses, which are "finitely" inward. The *ālaya*, which has *neng-yüan* (noetic activities) but remains pure *paratantra*, will be the only one finite instance of pure "inwardness." The seven subsidiary consciousnesses, being *paratantra-parikalpita*, are simultaneously "inward" and "outward": "inward," as bearers of their own noetic activities (*neng-yüan*); and "outward," as becoming objects (*so-yüan*) for the *ālaya* itself, a fact which gives rise to the illusion of an independent and permanent ego. Finally, the objective contents (*so-yüan*) of the cognitive activities (*neng-yüan*) are merely outward and are pure "impressions" of externality which increase the illusion of a substantial and independent world.

It is hoped that the diagram on page 38 will assist the understanding of the *parantantra-parikalpita, neng-yüan–so-yüan* relationships according to the *She-lun* school of subjective idealism.

On the basis of the current analysis, the role and character of the *ālayavijñāna* according to the ancient *Fa-hsiang* (or *She-lun*) school can be summarized in the following way: The *ālaya* is a finite, limited "alienation" from the eternal undifferentiated consciousness (*amala*) which is the pure cognitive aspect of *tathatā* (suchness). The *ālaya*, as the storehouse of karmic potentials, is the principle of conscious individuation: there is a plurality of *ālayas* which serve as the basis for a plurality of individual existences experiencing *saṃsāra*. Within its entitative relativity, the *ālaya* is the active, responsible cause for the origin of the proximate faculties of delusion (the seven *vijñānas*); furthermore, it transforms these very "faculties of delusion" into "objects of delusion" themselves by "intending" and "objectifying" them into an apparently "substantial and permanent" ego. *Ālaya* is therefore the one and only source of delusion and error: thriving as a center of ignorance, the *ālaya* will have "error" as its primary formal effect. Error will permeate all of its works and doings. In this sense it must be considered as essentially deceptive consciousness, to be obliterated only by the sweeping and awakening breeze of enlightenment.

This is the unflattering role assigned to the *ālaya* by the old *Fa-*

Chart of the Old Fa-hsiang
(*She-lun*) School



hsiang school. Obviously this conception is not free from insurmountable ambiguities:

If the *ālaya* is no more than a relative and individual basis for the transmission of karmic seeds, how can it be maintained that this doctrine does not run counter to the *anātman* theory of nonsoul, nonego? What makes this ever-transmigrating "seat" of individual consciousness different from the usual conception of a soul?

Moreover, if the *ālaya* is mere *paratantra*, is there a proper "seed" to account for its "paratantric" existence, or not. If the answer is yes, in which *storehouse* are the *many* seeds of the *many ālayas* preserved? Would not this demand a further *ālaya* beyond the particular *ālayas?* Does it not involve this position in a *regressus ad infinitum?* And if the answer is no, and only ignorance as such is given as the ultimate

cause of the *ālayas*, where does this universal ignorance come from? Either it is alien to the *amala*, in which case we have a clumsy dualism in the place of pure idealism; or it is of the *amala*, in which case the latter is no longer free of pollution, thus becoming a contradictory notion in itself.

The new *Fa-hsiang* school is well aware of these inconsistencies; and following more closely the line of the *Lañkāvatāra-sūtra*, it will try to reformulate the status of the *ālaya* in a more palatable way.

5

The Role of the Ālayavijñāna According to the New Fa-hsiang School of Hsüan-tsang

Hsüan-tsang (A.D. 602–664)—also transliterated as Hsüan-chuang, Yüan-tsang, or Yüan-chwang—was a native of Honan, the Chinese province that has been so proliferous of both Confucianist and Buddhist philosophers and scholars. At the age of thirteen he was already a Buddhist monk. As a pilgrim to India, he is said to have traveled on foot, braving the perils of the deserts of Central Asia. He arrived in India around A.D. 633 and soon collected about 657 Sanskrit texts and 150 relics of Buddhism, which he took back home in A.D. 645. He retired to the T'zu-en monastery with his precious treasure and began his work of translation.

His dedication to the *Vijñānavāda* idealist doctrine is exemplified by the fine selection of works that he translated; for he placed special emphasis upon those of Asaṅga and Vasubandhu. On the basis of his translations of and commentaries to Vasubandhu's teachings (for example, the *Daśabhūmikopadeśa* [On ten stages towards Buddhahood];[62] the *Viṃśatikāvijñaptimātratāsiddhi* [Twenty verses on mere ideation]; and the *Triṃśikāvijñaptimātratāsiddhi* [Thirty verses on mere ideation] he became the initiator of the new *Fa-hsiang* school.

Another name revered by the new *Fa-hsiang* school was that of Dharmapāla, an Indian compiler of the sixth century who is especially known for his work the *Vijñānamātratāsiddhi* (*Ch'eng wei-shih lun*; Jap.: *Jōyuishikiron*).[63] This is an ample commentary to Vasubandhu's *Thirty Verses.* (Also, it was translated by Hsüan-tsang.) Asaṅga's *Mahāyānasaṃgraha* (Compendium of Mahāyāna) is so profuse in allusions to the *ālaya* that it was also considered a central text for the school, although only in the more sophisticated version by Hsüan-tsang.

It has been stated that the main difference between the *She-lun* school and the new *Fa-hsiang* (also called *Ti-lun*)[64] school lies in the emphasis given to their philosophical key terms. The *She-lun* (old school) concentrates on its concept of causality as implied in the word *pratibhāsa* (analogy). The new *Fa-hsiang* school elaborates on its own

key word *pariṇāma*. On a basis similar to the old school (as presented by Asaṅga and Vasubandhu) the point of departure and the common zone of agreement will be the existence of eight levels or layers of consciousness. Phenomenal reality is the result of "mere ideation" (*wei-shih*; Jap.: *yuishiki*)[65] through the development of the eight subjective faculties and their functions. *Ālaya* is the storehouse of ideation itself and features the very center of all conscious activities. Thus far, the idealistic structure is common to both *Fa-hsiang* schools.

But there is a new ontical status assigned to the *ālaya* by the new *Fa-hsiang* school. The word *pariṇāma* means "transformation." In *Vedānta,* the word designates the more realistic and emanatistic systems of Bādarāyaṇa and Rāmānuja, who advocated a *real* transformation of the undifferentiated *Brahman* as the origin of the world. The vedantic *pariṇāmavāda* opposes the *Vedānta* of Śaṅkara, who claims only a nonreal, illusory transformation (*vivartavāda*) within the unqualified (*nirguṇa*) *Brahman* to the basis of causation.

In the new *Fa-hsiang* school, as interpreted from the works of Vasubandhu, causation entails only an inner, radically idealistic or "cognitive" evolvement (*chuan-pien*; Jap.: *tempen*),[66] rather than a real, emanatistic evolution from the *ālaya*: it is causation by "ideation only" (*wei-shih yüan-ch'i*; Jap.: *yuishiki-engi*).[67] Ironically, the usage of the term *pariṇāma* by the new *Fa-hsiang* school turned out to be more similar to Śaṅkara's *vivartavāda* theory than to Rāmānuja's emanatistic conception of *pariṇāmavāda.*

Obviously this new *Fa-hsiang* affection for Vasubandhu is not due to his doctrine of the *ālaya,* for it does not differ radically from his brother's conception. It is the frequent use of the term *pariṇāma* by Vasubandhu (compared to Asaṅga's predilection for the word *pratibhāsa*) that makes him so dear to the new brand of idealism propounded by Hsüan-tsang. *Pariṇāma* is understood to imply a pure idealistic transformation within the very medium of the *ālaya.* This is why the *ālaya stores* this transformation and its roots, namely, the *bīja* (*chung-tzu*; Jap.: *shūji*,[68] or seeds).

The main point in this debate is that the *ālaya* now is not considered causally responsible for its inner developments. Its domain is limited neither relatively nor by dependence. The *ālaya* is an infinite storehouse, which expands beyond all individual boundaries. In this

sense the *ālaya* provides the infinite and unalterable medium for the development of the roots of the opposition between *knowledge* and *ignorance.* As the mere, but necessary, medium of such development, the *ālaya* does not actively intervene in causative ideation: it remains passively related to such ideation as the sheer element of it, like the water in a pond, which offers a medium of life to the organisms developing in it without constituting the efficient cause of their eggs and seeds.

Through these presuppositions, the role of the *ālaya* is now supra-individual and eternal; it ontically corresponds to *tathatā* (*chen-ju*; Jap.: *shinnyo*, or true thusness) as the very Buddha-nature itself. *Ālaya* is no longer the result of ignorance arbitrarily affecting the transcendental *amalavijñāna* (undefiled or immaculate consciousness) in some mysterious way. This latter is not even mentioned by the new *Fa-hsiang* school. *Ālaya* is the everlasting and limitless reservoir of all existence, real or unreal, noumenal or phenomenal. In this respect it cannot be called ignorant or deceptive. For the new *Fa-hsiang* school, the *ālaya* is ultimately truthful, because although it contains the seeds of nonknowledge, (1) these are not produced by it, and (2) they are destined for extinction with enlightenment. Conversely, enlightenment will be the ultimate formal reason that bridges the role of the *ālayagarbha* (storehouse matrix) from a merely subliminal depository of karmic seeds into the fully realized *ālayavijñāna* as pure and absolute consciousness.

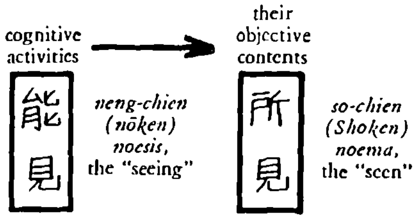
A question arises immediately with reference to the ultimate efficient cause of this active development within the passive, per se unalterable, and quiet medium of the *ālaya*: What or Who stirs the violent storms of relative existence (*saṃsāra*) within its otherwise serene realm? In this respect the new *Fa-hsiang* school does not seem to go much further than the *Laṅkāvatāra-sūtra*: the winds of ignorance, which "stir the waves in the serene ocean of the *ālaya*," are replaced by the merely metaphysical and technically more fitting "habit-energy" (*hsi-ch'i*; Jap.: *jikke* or *jūke*),[69] the "perfuming" or "permeating" agency, sometimes also called "memory" (Skt.: *smṛti*).[70] *Hsi-ch'i* (Jap.: *jikke*) is the proper stringent, the stimulating principle behind the active development of the karmic seeds. As will be shown later, *jikke* or *smṛti* will not constitute a better answer

to the unsolved questions posed by the doctrine of the *Laṅkāvatāra.*

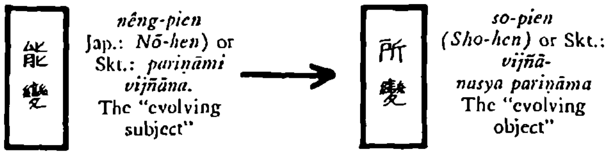
It has been mentioned that the new *Fa-hsiang* school could also be called the "phenomenological school." The term "phenomenological" is applicable in the sense developed in contemporary philosophy by Edmund Husserl and his disciples. I believe this to be a great merit of the new *Fa-hsiang* school.

A brief summary of the phenomenological developments can be seen by further elucidation of the aforementioned *pariṇāma* theory. *Pariṇāma* indicates an intersubjective noetic constitution of a world as a mere intentional correlate of transcendental consciousness. This consideration of the world as the "noematic" content of consciousness is admitted by the school on a strict idealistic basis and obviously not by phenomenological "'bracketing" or "reduction" as such. From the very outset it must be stated that "transcendental consciousness" as referring to the *ālaya* does not correspond to Husserl's conception of the pure or transcendental ego. Previous to any discussion of intersubjectivity, the Husserlian transcendental ego is the *a priori* and universal source of objectivity as "purified" through the reductions and as a phenomenological residuum within the solipsistic and isolated sphere of consciousness of the one individual performing *epoché.* The new *Fa-hsiang* school, by positing *ālaya* as the supraindividual correlate of all individual consciousnesses, sets up a more objective kind of idealism than the old *She-lun* school. But the existence of the *ālaya* constitutes a metaphysical presupposition, and as such does not have a place in a pure phenomenology based on the absolute "bracketing" of all presuppositions.

Notwithstanding the absence—which is to be expected—of a proper phenomenological point of departure, the new *Fa-hsiang* school developed a system filled with phenomenological features. The fundamental structure of consciousnesses lies in the distinction between *noetic* activities and their *noematic* contents; only the subject of consciousness itself is ultimately considered as standing by itself beyond the mere phenomenological unity of all noetic activities. It is the pole for the deployment of the internal, presumptive horizon of time, which Husserl terms the "pure" subject. In this sense, the structure of consciousness in the individual entails a bipolarity:



From the viewpoint of *pariṇāma*, as noetic transformation, the "correlationship" is expressed also in the following way:



The correlated terms *neng-pien–so-pien* signify the way of causation as opposed to the *neng-yüan–so-yüan* relationship of the *She-lun* (old school). According to the old school, the character *yüan* (Jap.: *en*) entails "causative relation" as is implied in the *pratibhāsa* theory of objective causal analogy (*arthapratibhāsavāda*), whereby the *ālaya* would be the active ground of this causal relationship. In the new school, the character of the correlation, *neng-pien–so-pien* (evolving subject–evolving object), is indicated by the character *pien* (Jap.: *hen,* or transformation), which suggests the parallel "evolvements" (*chuan-pien*; Jap.: *tempen*)[71] of the noetic activities (*neng-chien*; Jap.: *nōken*) and the noematic flux of the constituted objectivity (*so-chien*; Jap.: *shoken*). This parallel approximates Husserl's conception of total correspondence between the noetic functions and their contents as correlative poles of consciousness that, in their flux, belong inseparably together.

However, this parallel development is "ontically" (not only phenomenologically) placed in the absolute, infinitely open, and self-related substratum of the static *ālayavijñāna.* On this account, the *ālaya* cannot be equated with the pure ego of recent phenomenology, which Edmund Husserl—as has already been said—deems to be a primordially solipsistic and merely phenomenological, absolute "residuum" left over by the series of "reductions" involved in the *epoché*, and in no way to be taken as a soullike, hypostatic entity, much less as a supraindividual or ultracosmic reality in itself.

The new *Fa-hsiang* school's phenomenological structure entails only that relative consciousness, as pure flux, is consciousness of an object that also is in flux, although this does not preclude the possibility of a self-abiding, unrelated, empty, and totally undifferentiated superconsciousness as realized through final enlightenment. In fact, this "nonevolving" and somehow "static" superconsciousness would constitute cognitive realization of the very immutable "medium" wherein the *pariṇāma* process of the "flux" consciousness takes place. This, of course, would entail the self-realization of the *Dharmakāya* (the absolute body) of reality, as dropping its mediation of relativity and explicitly deploying its own all-comprehensiveness.

According to the new *Fa-hsiang* idealism, the *ālaya*, therefore, maintains it primordial unity, purity, and universality throughout the *pariṇāma* process. This means that the appearance of the *kliṣṭamanovijñāna*, the basis for the projection of a personal ego, constitutes the first link in the chain of individualization; for it is the center and source of relative thought and attachment to individuality. *Kliṣṭamanas* represents the first stage of the subjective aspect of *pariṇāma* (evolving subject); and this state is followed by the development of the other conscious faculties, including the *manovijñāna* (sense center) and the five sensorial organs. *Kliṣṭamanas*, as the ultimate basis for individual existence, borrows its noetic character from the universal, though subliminal, consciousness of the *ālaya*. It functions as a constricted fragmentation thereof, as a contraction within infinity caused by the individuating intervention of the already mentioned mysterious agency called *hsi-ch'i* (Jap.: *jikke*, the "permeation" principle).

On the basis of such a structure of consciousness, as implying the *pariṇāma* process and its universal source the *ālaya*, the question remains as to which role should be ascribed to the Three Natures by the new *Fa-hsiang* system?

It is easy to surmise how variant the interpretation of the Three Natures Doctrine will be if it is compared with the simpler conception of the old *She-lun* school. Clearly, the *ālaya* can no longer be considered as *paratantra*. Because it is both universal and the very basis of the "nirvanic" state, now the *ālaya* will be identified with the *pariniṣpanna*. As *pariniṣpanna* (encompassing or all-involving) the *ālaya* will be considered the ontical place of the *paratantric* existences whose

appearances within it are marked by the origination of the individual *kliṣṭamanas* and the six subservient sensorial faculties (*liu-ken*; Jap.: *rokkon*).[72] Its *seed* is stimulated by the "permeating" agency (*hsi-ch'i*; Jap.: *jikke*), or "habit-energy." *Kliṣṭamanas* becomes the first restriction of knowledge and thereby constitutes the principle of non-knowledge and delusion (*wang-shih*; Jap.: *mōshiki*).

This is the point at which a major diversification from the *She-lun* (old) school appears. As stated previously, the *She-lun* school recognizes the existence of *only* the eight consciousnesses, including the *ālaya*, which are considered to be *paratantras* (as subjects of *neng-yüan*, conscious activities). The realm of objectivity (*so-yüan*) was deemed to be pure imagination and completely devoid of even the relative *paratantric* status. It was pure outward projection and, as such, merely *parikalpita*. In the new *Fa-hsiang* school, however, the *paratantric* world is not reduced to the constituent layers of the subject (this time seven instead of eight); for there is also an *objective paratantric* world: it is the world of the *so-pien* itself as the manifold of the merely "intentional and ideal" contents of consciousness. The whole phenomenon of the entire world as such is "*paratantra*-in-itself," because it is posited by the subjective faculties *before its projection as a seemingly real world by itself*, which thus appears as outside of and independent from consciousness. It is this very impression of outerness and substantial independency *that is illusory* and that is to be considered as *parikalpita*. This illusion of an independent subject in front of an independent world to be surmounted both *theoretically* by philosophical thought and *practically* by enlightenment shows a parallelism to the Husserlian thesis of the *natural* or *naïve* standpoint to be corrected by the "phenomenological reduction."

According to the new *Fa-hsiang* scholars, the *parikalpita* is not a merely phantasmagoric world without any real foundation. Although illusory, the *parikalpitas* are based upon a different type of reality: the relative reality both of a net of *intersubjective* consciousnesses (subject *paratantras*) and the objective contents constituted by their conscious activities (object *paratantras*). It is because of the false discrimination of the deluded mind that man acquires an erroneous view: he ascribes independence and substantiality to utterly dependent existences such as the subject *paratantras* (which rely directly upon the *ālaya*) and the

object *parantantras* (which, as mere contents of consciousness, immediately rely upon the seven faculties and ultimately on the *ālaya*).

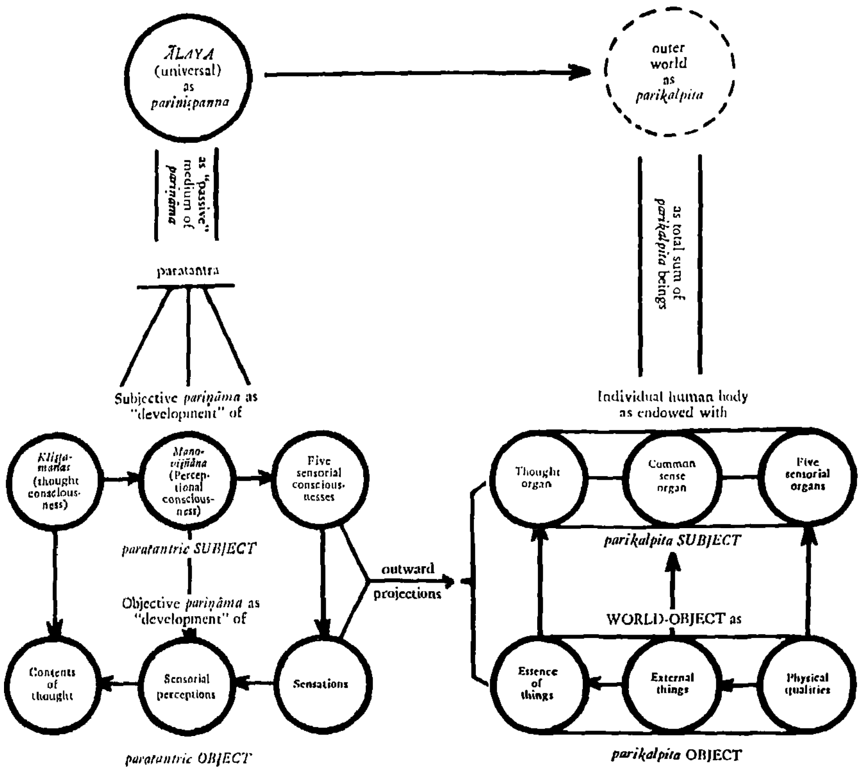
In the old *Fa-hsiang* school there was an *amala* as *parinispanna*, eight subjective faculties as *paratantra*, and, finally, the projected world, which included the self-projections of the ego and the outer projections of the world as *parikalpita*.[73] Now, the new *Fa-hsiang* school proposes (1) the *ālaya* itself as *parinispanna*; (2) the phenomenological correlation *neng-chien–so-chien* (or *paratantra*-subject–*paratantra*-object) as the *neng-pien–so-pien* poles of ever-developing "parantantric" existence; and (3) the deluded "*parikalpita* subject" opposing the "*parikalpita* object" as the bipolar axis of the world of delusion. In the old *Fa-hsiang* school, *parinispanna* is nonsided (*amala*), *paratantra* is one-sided (merely subjective), and *parikalpita* is two-sided (subjective-objective). In the new *Fa-hsiang, parinispanna* is all-sided (*ālaya*), and both *paratantra* and *parikalpita* are two-sided, although differently: the *paratantra* shows a true, although merely phenomenological, duality; whereas the *parikalpita* exhibits a sheer figment of substantial duality between the ego and the things of the world.

The chart on page 48 will provide a view of this terminology as used by the new *Fa-hsiang* school.

On the basis of the entirely variant role attributed to the *ālaya* by the two *Fa-hsiang* schools and within the more advanced phenomenological structure developed by the followers of Hsüan-tsang, an extremely significant question arises: How does the "return" or "reversion" from within the state of delusion (*wang-shih*; Jap.: *mōshiki*) or "nonknowledge" (*pu-chüeh*; Jap.: *fukaku*) to the state of "enlightenment" and absolute truth (*chüeh*; Jap.: *kaku*) take place? Keeping the preceding theories in mind, an attempt will be made to detect the possible ontological ground for such a conversion, or, in more fitting terminology, "reversion" (*parāvṛtti*).

The bipolar manifestations (*neng-pien–so-pien*) of the "*paratantric*" entities enjoy a dependent, transitory, or "provisional" degree of being, which they "borrow" from the *parinispanna*. Such entities correspond to the fundamental factors of existence (*dharmas*) of *Hīnayāna* metaphysics in accordance with Vasubandhu's analysis of the *dharmas* which he enumerates in his *Abhidharmakośa*. Yet this time they are considered to be pure correlates of consciousness and not as quasi-

Chart of the New Fa-'hsiang School of Hsüan-tsang.



atomic, relativistic ultimates. The idealistic schools and all the subsequent Buddhist schools have kept the use of the word *dharma* or its translation through the character *fa* (Jap.: *hō*)[74] in order to express "relative or conditioned being" (*saṃskṛtadharma*), regardless of its consideration either as *paratantra*, or as illusorily substantiated *parikalpita*. Many of the dialectical formulas of Tsung-mi in his Kegonian texts make frequent use of the character *fa*, as does Dharmapāla's *Ch'eng wei-shih lun* (*Vijñaptimātratāsiddhi*).[75]

It is pertinent to note that this latter text states that there are some *dharmas* (of course understood in the "*paratantric*" state) that never become objects of "false discrimination";[76] and accordingly, they are never turned into *parikalpita*. According to the *Ch'eng wei-shih lun*, these "clean" *dharmas* constitute the potential source of "reversion," as the path of return to the ultimate truth, proposed by the text on "ten

stages (Skt.: *daśabhūmi*; Chin.: *shih-ti*; Jap.: *jūji*) toward Buddhahood." The "*paratantric*" entities group themselves according to the following patterns:

- *Paratantra;* (Chin.: *i-t'a-ch'i hsing* Jap.: *etakishō*)
  - (tinged or soiled *dharmas*)
    - Chin.: *jan-fen i-t'a-hsing* or *yu-lou-fa*
    - Jap.: *zembun-estashō* or *uro-hō*
  - (pure or undefiled *dharmas*)
    - Chin.: *ching-fen i-t'a-hsing* or *wu-lou-fa*
    - Jap.: *jōbun-etashō* or *muro-hō*[77]

The "seeds" of both the "clean" and the "tinged" *dharmas* are stored in the *ālaya*. This is a reason that weighs heavily in favor of Hsüan-tsang's interpretation: namely, that the *ālaya* is truthful, infinite in itself, and offers a pure medium for the *pariṇāma* development of the seeds. One should keep in mind that Dharmapāla's text, while a commentary on Vasubandhu's *Triṃśikākārikā* (Thirty verses on ideation), includes a great deal of his own overhauling of the old doctrine as propounded by Vasubandhu and his brother Asaṅga. Originally, the *ālaya* must be truthful (*chen-shih*; Jap.: *shinjiki*) in order to provide the proper basis for the development of the "clean" *dharmas*, which will be free from the permeation of ignorance throughout their development. That means that the *ālaya*, as the mere medium for the true *paratantra* development and the point of departure for all the *pariṇāma* process, will be "original knowledge" (*pen-chüeh*; Jap.: *hongaku*): this is admitted by Dharmapāla's *śāstra*, and will also be a fundamental doctrine of the *Kegon* school.

Consequently the process of causation (*a-lai-yeh yüan-ch'i*; Jap.: *araya-engi*) departs from *chüeh* (Jap.: *kaku*, or knowledge) towards *pu-chüeh* (Jap.: *fukaku*, or nonknowledge). *Pen-chüeh* (Jap.: *hongaku*,[78] or original knowledge) is the primal link in the causation process. Thus the very first step of origination is truthful and free from the "permeation" of ignorance.

Furthermore, such a presupposition is needed to explain the continuous presence of "clean" *dharmas* as latent potentialities (*wu-lou-fa*; Jap.: *muro-hō*) of future enlightenment. This means that whatever is suggested as the "first mover" in the chain of causation (including the particularizing agency of the "permeating energy" [*hsi-ch'i*], mentioned above) cannot be reckoned either as intrinsically permeated by ignorance or as the immediate effect of it. The "winds of ignorance" of the *Laṅkā* are replaced by a principle of "parantantric" individuation (*hsi-ch'i*; Jap.: *jikke*), which is not primordially deluded or "delusive." Although ignorance is a necessity, it will be a sequential to, rather than a cause of, individuation. This feature was foreshadowed by the *Awakening of Faith* treatise and will become a central tenet of the *Kegon* school.

Consequently, one must conclude that the metaphysical presuppositions show "potential truth" and "potential knowledge" to be at the base of the process of *wang-shih* (Jap.: *mōshiki*), or "deluded consciousness," wherein both "tinged" or "soiled" *dharmas* and "clean" ones exist. This reveals an essential trait of Mahayanism: the "great vehicle" claims that the possibility of enlightenment is latent in each living and rational creature. There is no need to wait for the proper time, that is, for a future rebirth in which a predominance of "good" *karma* shall eventually take place.

The above is the reason why the old *Fa-hsiang* school, in spite of its idealism, cannot be considered as truly "Mahayanistic": the *ālaya* is seen to be radically "deceptive" original consciousness, and the process of causation departs from the state *pu-chüeh* (Jap.: *fukaku*, or non-knowledge). Through the process of causation and rebirth there is the *sāsrava* wheel, that is, the cyclic period of blind existence and the mere accumulation of evil *karma* when there is not yet a chance for the development of enlightenment. Not everyone in the *saṃsāra* wheel is ready for the supreme *dharma*, according to the fundamental implications of the very term *hīnayāna* (small vehicle). Thus the old *Fa-hsiang* school cannot be counted as maturely Mahayanistic, but, at most, as quasi Mahayanistic. Enlightenment takes place only by complete self-extrication from the outward and totally "dark" chain of origination and by establishing contact with the pure, unpolluted transcendence of the *amalavijñāna*.

Contrarily, the *pariṇāma* conception of the new *Fa-hsiang* school holds that enlightenment may take place, at least in principle, within the very flux of the self-transforming consciousness by sinking into its latent *"clean" dharmas.* In this manner, the theoretical basis is laid for a type of enlightenment that takes place in the very midst of everyday trivialities rather than in the ecstatic blankness of mystical flight. Such attainment is within the reach of every individual. This is a typical feature of *Zen satori.*

In spite of this theoretical possibility, the practical feasibility of such an enlightenment remains implicit and even hidden to the new *Fa-hsiang* school. The traditional approach, consistent throughout the entire historical development of Indian thought (with the exception of *Nāgārjuna*), is mainly that the Absolute is synonymous with utter oneness and undifferentiation, and, as unspecified Substance (*nirguṇa*), it remains common to both the old and the new *Fa-hsiang* schools. Where there is differentiation, limitation, or determination, there cannot be realization of infinity and absoluteness. One must purify the self of multipilicity before one is ready to attain either the supreme undifferentiation of the *amala* (old *Fa-hsiang*) or the static, void, and departicularized medium of the universal *ālaya* (new *Fa-hsiang*). This conception will not be accepted by *Kegon* and, correspondingly, not by *Zen.*

Before terminating this chapter, something must be said about the character of the individualizing and particularizing "permeation-energy" (*hsi-ch'i*; Jap.: *jikke*), which is taken as the very *motor* of the *pariṇāma* (subjective and objective) determinations of consciousness. In the words of Suzuki, this motor principle has no explainable source: "This consciousness (*ālaya*) alone has no power to act by itself. It is altogether passive, and remains inactive until a particularizing agency touches it. The appearance of this agency is a great mystery which is not to be solved by the intellect; it is something to be accepted simply as such."[70]

Having recourse to mystery in order to account for an unexplainable principle is one thing, but realizing the complete incongruity and illogicality of such a principle is another. In this case the incongruity is too conspicuous to be pushed back into the realm of an enigmatic transcendency. If the primordial *hsi-ch'i* (Jap.: *jikke*, or permeating

agent) is alien to the intrinsic character of the *ālaya*, then its existence must rely upon a previous *hsün-hsi* (Jap.: *kunjū*, or permeation), thus the process takes the form of an illogical "*regressus ad infinitum*," without the least trace of explanation. *Hsi-ch'i* (Jap.: *jikke*), as the alien "winds of ignorance," remain a self-contradictory element in the present type of subjective idealism. It is the Fichtean *Anstoss* (clash) of the *presumptive* ego as against the unaccounted presence of a non-ego, which causes the primordial spark of a world-consciousness. What Hegel considered a dialectical blunder and the very scandal of German subjectivism is also *Kegon*'s indictment against the idealistic *Fa-hsiang* schools.

6
The Role of the Ālayavijñāna According to the Hua-yen (Kegon) School

Briefly retracing the development of the *ālaya* concept, one discovers a parallel progression common to both the main Indian texts and the Chinese schools:

	1	2	3
Indian	Asaṅga and Vasubandhu	*Laṅkāvatāra*	*Śraddhotpāda*
Chinese	Old *Fa-hsiang (Hossō)* School [*She-lun*]	New *Fa-hsiang (Hossō)* School [*Ti-lun*]	*Hua-yen (Kegon)* School

It would be enough to recall the exposition of the *reflexive twofold permeation* propounded by the *Mahāyānaśraddhotpāda* (*Ta-ch'eng ch'i-hsin lun*; Jap.: *Daijō-kishinron*)[80] as against the "one-sided" permeation of Asaṅga and the *Laṅkāvatāra* in order to envisage properly the new developments of dialectical Buddhism in *Kegon*. As the difference between the theories of Asaṅga and Vasubandhu and that of the *Laṅkāvatāra* was in the way of interpreting the ontological status of the *ālaya* (according to the brothers, individual; according to the *Laṅkāvatāra*, universal), so that the difference between the brothers and the *Laṅkā*, on the one hand, and the *Awakening of Faith*, on the other, lies in the different functional character of causation: until the *Laṅkā*, causation "by ideation" is based upon a one-sided "karmic" permeation (*hsün-hsi*; Jap.: *kunjū*, or the permeation of ignorance). This latter remains a principle extraneous to the absolute ground of consciousness, whether it is the *amala* (Asaṅga and Vasubandhu) or the *ālaya* itself (*Laṅkā*). In the *Śraddhotpāda*, however, causation was found to operate on the basis of a "reflexive, two-sided permeation": the "true thusness" determines itself from original knowledge into ignorance, and from ignorance back into knowledge, on a perpetual cycle of self-permeation. This cycle is a dialectical one: "Thusness" posits limitation (negation of knowledge) and reconstitutes the "limitation" into the original "unlimitation" ("negation of negation" of knowledge); sameness posits difference; and one posits many;

while the many of difference are reabsorbed into the oneness of sameness, although now preserved as "differences-in-identity."

This is the fundamental process followed by the *Kegon* school, whose whole metaphysical doctrine takes its source from the famous chapter of the *Gaṇḍavyūha* (Chapter on entering into the *dharmadhātu* of interpenetration)[81] of the *Avataṃsaka* (*Hua-yen*; Jap.: *Kegon*) *Sūtras.* This chapter symbolically envisages ultimate reality as a tower in the heavenly city of Jetavana, which is composed of an infinite number of jewels (analogous to Indra's net), each of which contains the infinite images of all the others. This is the world of *All in One* and *One in All* that is disclosed to the pilgrim and seeker of truth *Sudhana,* who consults with thirty-five sages and *Bodhisattvas,* and is finally introduced by the *Bodhisattva* Mañjuśrī into the Vairocana Tower, which is the abode of the future buddha, Maitreya.

Fa-tsang (A.D. 643–712), the third patriarch of *Kegon* and the real founder and systematizer of the school, developed a similar doctrine in his *Scripture of the Golden Lion* (*Chin Shih-tzu chang*).[82] The Golden Lion possesses an infinity of golden hairs, each of which reflects the whole lion as containing its own infinity of hairs anew. In this manner the lion is infinite in its own self-reflection upon its infinite number of hairs. There is an infinite self-containedness of infinity: Each limited being contains within itself the infinite *by which it is* contained. Thus, the inner is outer, and the outer is inner. An old biography of Fa-tsang (in the *Sung-kao-seng-chuan*) relates the expedient used by the teacher in order to illustrate this all-comprehensiveness to his students: "He took ten mirrors, arranging them, one each, at the eight compass points and above and below, in such a way that they were a little over ten feet apart from each other, all facing one another. He then placed a Buddhist figure in the center and illuminated it with a torch so that its image was reflected from one to another. His students thus came to understand the theory of passing from 'land and sea' (the finite world) into infinity."[83] In this way an endless multiplication of the finite figure would take place in the new realm of the infinitely self-multiplying reflections of the mirrors. Thus the *Kegon* doctrine of "interpenetration" (*yung-t'ung*; Jap.: *yūzū*) or "nonimpededness" (*wu-ai*; Jap.: *muge*)[84] is illustrated, as being the inner quality of the *shih-shih-wu-ai fa-chieh* (Jap.: *jiji-*

muge hokkai,[85] or "*dharma* world of interpenetration" theory), or abode of all enlightened sentient beings.

In sum, the one-sidedness of the *Fa-hsiang* subjectivistic doctrines of "permeation" (or "perfuming") appears in the absorption of objectivity into the only reality of subjectivity. The object is merely a content of consciousness, in spite of the degree of independent being that is attributed to the latter. However, the proper character of the *Kegon* doctrine is that the object is as much a content of the subject as the subject is a content of the object. Mutual self-containedness is the trademark of the world of "nonimpededness." Objectivation, as relativization, belongs to the very process of overall comprehension whereby the total subject constitutes its own total object, and vice versa.

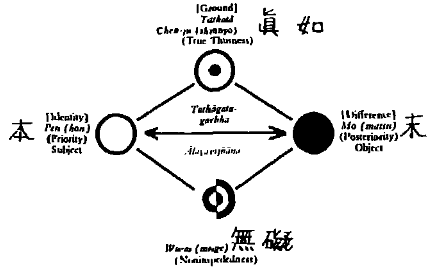
It is no wonder that the *Awakening of Faith* scripture, in addition to the *Avataṃsaka Sūtras*, became the theoretical enchiridion for the Kegonian thinkers. It became a basic instrument in the hands of Kuei-feng Tsung-mi, the fifth patriarch of *Kegon* and a master of *Zen*, who greatly influenced the trends of the *Sōtō* school. He developed also a complete and proper Kegonian theory on the *ālayavijñāna*, as basically identical with "true thusness" and the *Tathāgata-garbha*. By his close relationship with the *Ho-tse* (Jap.: *Kataku*) branch of *Zen* Buddhism,[86] Tsung-mi became an ideal synthesizer of both speculative and practical Buddhism. Notwithstanding the very influential character of this great ninth-century Buddhist scholar and master, little has been done in the way of research and study of his texts. This will justify the heavy reliance upon his work in the present and following chapters.

Yet, a considerable part of the present exposition will be founded on my personal views: the diagrammatic charts showing the Kegonian process of "causation" and "enlightenment" have been devised as a means of exemplifying my own expression of *Kegon*. Concerning metaphysical terms, I will rely not only upon Tsung-mi's terminology, but also upon modern treatises and works by various Japanese scholars such as Ui Hakuju and Nakamura Hajime. On account of this reliance on Japanese works and research materials, I will mainly use Japanese terminology.

The *Kegon* Doctrine of Causation

The *Kegon* doctrine of causation relies heavily upon the Kegonian

interpretation of the Three Natures and their bearing upon "true thusness." The new approach to the Three Natures (*shinnyo*) constitutes the backbone of Kegonian dialectics. Its structure is based upon the pattern of the Kegonian "four poles of all-comprehensive reality," which makes use of the Confucianist symbols used by Tsung-mi and by the Sōtō founders:



The symbolic circles, which were used by Tsung-mi in his own diagrams, represent fundamental *unity* (the white) and *multiplicity* (the black). According to Kegonian terminology, unity is accepted universally as the *a priori* source of consciousness (or subjectivity) and is indicated by the character *pen* (Jap.: *hon*, or priority), whereas "multiplicity" signifies the manifold of experience (or objectivity) and is indicated by the character *mo* (Jap.: *matsu*, or posteriority). Although *shinnyo*, or "true thusness," is fundamentally one (white), it is represented as containing the potentiality of self-actuation and self-definition (the black dot in the center): thereby it is at the base of the realm of the *Tathāgata-garbha* (matrix of thus-coming). The pure white and pure black circles of *hon* and *matsu* indicate the primordial differentiation between subjectivity and objectivity. The reconstitution of identity within the spiritual realm of consciousness reabsorbs multiplicity into the original identity, in which the subject and the object coalesce into an all-comprehensive "identity-in-difference": this establishes the realm of *muge* (nonimpededness) or *yūzū* (interpenetration), which, as cognitive realization, becomes the all-embracing storehouse of consciousness.

If one were to apply Hegelian categories to the former schema, *shinnyo* would represent the category of "ground," *hon* would be equivalent to "identity," and *matsu* would stand for "difference." As for *muge*, the nearest Hegelian category would be "actuality," as the

perfect identity between "ground" and "grounded," or the identity between "essence" and "appearance." The Kegonian notion of *muge*, however, differs from the Hegelian category of "actuality" in that the former implies a mystical, all-comprehensive realization of *total actuality* as such ("'essence" taken universally, as the very definition of the "absolute"), whereas the Hegelian category is *rational* and applicable to any given actual existence, no matter how particular or limited in itself it may be.

Another possible correspondence of categories could be established by viewing *shinnyo* as "notion" or "idea in itself." *Hon* then would correspond to the "subjective notion," *Matsu* to the "objective notion," and *muge* to the "absolute notion" or "absolute idea" (in and of itself). This parallelism, which entails only a loose sequence of correspondences between the Hegelian and Kegonian categories (we are not attempting to demonstrate a perfect coincidence between Hegelian and Kegonian dialectical terms, but are only trying to show their similarities), does not end here. As Hegel develops his categories of causality within the frame of "actuality" as the unity of "essence" and "appearance," so does *Kegon*. The Kegonian theory of causation relies upon the dialectical interplay of the categories of identity and difference (or essence and appearance: *hon* and *matsu*) with the concepts of the Three Natures: *Parinispanna* as true universality, *parikalpita* as mere particularity (false concreteness), and *paratantra* as true concreteness (the Hegelian concrete universal).

The dialectical scheme should be described in the following way: out of the primordial explication between *hon* and *matsu* three levels of being develop. First is the level of *parinispanna* (Jap.: *enjō*).[87] *Parinispanna* is "all-rounded" and all-comprehensive; for it is the true Universal Being, which connotes true *infinity*. But the poles of *hon* and *matsu* have become explicit without an actual separation having taken place yet. The *hon* (priority) side of the *parinispanna* (*enjō*) becomes *fuhen* (immutability):[88] also, it can be translated as the universal and transcendental *a priori* source of subjectivity, and it is altogether Self-identical. The *matsu* (posteriority) side of *parinispanna* (*enjō*) becomes *zui'en*,[89] or the "universal chain of causative activity" as such: it connotes the power of self-activation, or, in more Buddhistic terms, "self-permeation." As the *fuhen* aspect of *parinispanna* implies

universal subjectivity, its *zui'en* aspect connotes universal objectivity. That means that there is inherent subjectivity and objectivity in the very realm of *parinispanna*, although it exists only potentially and implicitly. *Parinispanna* (*enjō*) can be called the realm of *ri*,[90] or the ideal principle, for it connotes an "infinite self-determining capability" (the Hegelian "true infinite"). Once this functional character of *parinispanna* sets itself into activity, self-permeation begins, and the realm of *paratantric* being develops.

Paratantric being (*etashō*) also has an explicit double side of *hon* (priority) and *matsu* (posteriority): the *hon* side of *paratantra* represents the subjective self-determination ensuing from *zui'en*. Thereby an intersubjective net of individual consciousnesses unfolds. These *paratantric* subjects are also termed *mushō* (Skt:. *aprakṛti*),[91] or the "immaterial subjects" or pure thought subjects. A cross section of each would reveal the seven known levels of awareness as propounded by the new *Fa-hsiang* school. Conversely, the *matsu* (posteriority) side of *paratantra* represents the outcome of objective self-determination of the *paranispanna* and the ensuing manifold of worldly objects. This objective side of *paratantra* is also termed *ji'u* (Skt.: *pratibhāsa-bhāva*),[92] or the "realm of the seeming" (the phenomena *as such*). If one were to compare this development with the old-*Fa-hsiang*-school notion of causality, this realm would be represented by the rope (*paratantra*) appearing as the snake (*parikalpita*). It is fitting that this category of *paratantra* implicitly contains the universality of *parinispanna* and thereby includes "suchness" (*tathatā*) as permeating all the determinations both (subjective and objective) of particular being: it is the realm of *true concreteness* and is designated *riji*,[93] the perfect identity between the universal (*ri*) and the particular (*ji*), which is the true "concrete universal" of Hegel. As such, *paratantra* (*etashō*) in itself constitutes an "ideal realm" in which there is identity between the universal *tathatā* (suchness) and its determinations. In this realm the determinations of the infinite are interinclusive, although this inclusivity or entitative "in-each-otherness" is not yet explicit.

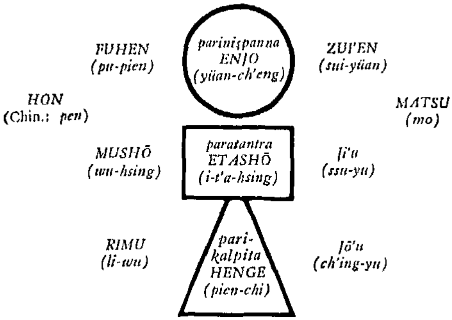
Based on the implicit character of such "*paratantric*" mutual inclusivity, the dialectical side of nonknowledge (*pu-chüeh*; Jap.: *fukaku*) presents itself as the negation of original knowledge. This gives impetus to the world of exclusivity and opposition, the *parikalpita* world

(*henge*), which is a world of false concreteness and of "mere particularity." The "particular" subjects and objects appear as devoid of their ultimate all-permeating universality, and thus erroneously manifest themselves as independent from one another. It is the world of false discrimination, for it exhibits a mere manifold of mutually conflicting and deharmonized beings. It is the realm of *ji*, or mere particularity—the world of delusion. Its subjective side, as presenting a disconnected plurality of egos is also called *rimu*,[94] or the essenceless, matter-bound subject. Its objective side is designated as *jō'u* (Skt.: *sattvabhāva*),[95] or the realm of deluded "sensation of feelings," which refer to a mere plurality of illusorily independent and self-standing objects. There is a need for an "enlightening" revelation of the hidden universality of suchness, to allow the world of plurality to appear in its "true universal concreteness"; and such "enlightening" experience brings about the total awareness of *pariniṣpanna* as it permeates and transcends its *paratantric* determinations. This is the task of "reversion" towards enlightenment, whose result is the realization of the *dharmadhātu* world of *jijimuge* (interpenetration among all particulars) and *rijimuge* (interpenetration between the universal *paraniṣpanna* and all its particulars).

The Chart of Causation (p. 61) tries to offer a visual summary of the dialectical structure of origination which constitutes the "permeation of ignorance."

When comparing the Kegonian structure of the Three Natures, as shown by the chart, with the tenets of the two *Fa-hsiang* schools, the following differences will come to the fore: According to the old school (*She-lun*), *parikalpita* is the only realm that shows a subject-object polarity. *Paratantra* is considered as mere subjectivity, whereas *pariniṣpanna* constitutes pure Oneness and total passivity. According to the new Fa-hsiang school, both the *paratantra* and the *parikalpita* are bipolar: that is, both are subjective-objective. *Pariniṣpanna* remains as the pure and abstract oneness of the sole indivisible medium of *ālaya*. In *Kegon*, however, all three Natures partake of the *hon* and *matsu* bipolarity as exhibited by the pairs on page 60.

This bipolarity entails neither strict dualism nor strict monism. According to *Kegon*, reality is neither monistic nor dualistic; this expression is in the very core of Kegonian thinking, since strict monism,



as opposed to strict dualism, constitutes a mere negation, implies partiality, and therefore does not reveal the all-comprehensive "identity-in-difference" of ultimate reality.[96]

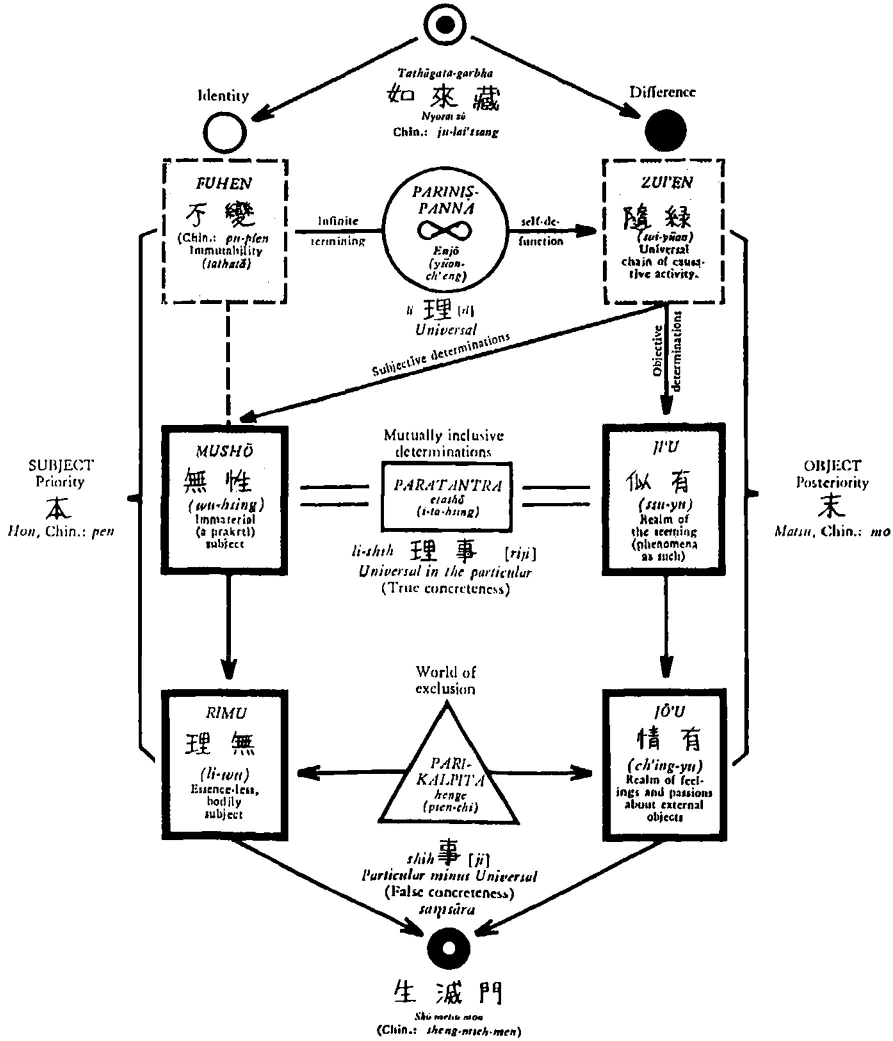
The chart exhibits the *fuhen-zui'en* poles of *pariniṣpanna* as two shaded surfaces (universality) within dotted squares, in order to indicate both the mere potentiality of limitation and the actual indetermination. The polarity *mushō-ji'u* of the *paratantra* realm is represented by shaded surfaces (indicating universality), but within gross delimited squares, which represent actual determination into particularity. The third polarity is exhibited with gross delimited squares without the shaded surface, in order to indicate the absence of the all-permeating universality in the world of delusion. The *pariniṣpanna* (*enjō*) has been symbolized as a sphere, to indicate its etymological content (all-round, all-involving), while the *paratantra* (*etashō*) is represented as a rectangle, in order to indicate formal and quantitative-qualitative circumscription. The remaining level, *parikalpita* (*henge*), is pictured as a triangle, in order to symbolize the three-cornered process that is undergone, according to the *Kegon*, by delusive consciousness. In Kegonian terms, this process is called *sansō* (three appearances) or *sansai* (three subtleties),[97] shown in chart on page 62.

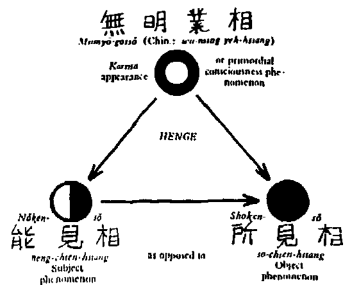
The *mumyō-gossō* (Chin.: *wu-ming yeh-hsiang*), or "deceptive karmic appearance" or "karmic ignorance," can be interpreted phenomenologically as a "primordial consciousness phenomenon," corresponding to the monadic state of the individual germinal sphere of the subject. It contains the manifold of a chaotic, not yet externalized, and noetically unconstituted world-object. In Hegelian terms, this would be the state of the soul as the prephenomenological monad,

which is filled with its own raw sensations, prior to the evolvement of "consciousness proper" with its sense of outerness.[98]

Nōkensō (Chin.: *neng-chien-hsiang*) represents the noetic activities of the subject, which formally constitute the external appearance of a world as *shokensō* (Chin.: *so-chien-hsiang*): these correlated terms denote the alienation of the object from the subject in the realm of *parikalpita* (*henge*). Thus, *nōkensō* corresponds to the *Fa-hsiang-*

Kegon (Hua-yen) SCHOOL.
CHART OF CAUSATION.





school term of *neng-chien* (noetic functions), whereas *shokensō* stands for *so-chien* (objective contents).[90] This *sansai* doctrine, which is presented initially by the *Daijō-kishinron* (Awakening of faith), is of great importance. A proper understanding of Tsung-mi's scheme of the *ālayavijñāna* (to be explained in Part 2) must be based upon the above. It serves also as an initiation into the dialectics of the Kegonian enlightenment process, which will be explained hereafter.

The Kegonian Process of Enlightenment

The aforementioned *sansai* phenomenological scheme clearly points to the *implicit* and, from the viewpoint of consciousness, *subliminal* character of the *paratantra* (*etashō*) realm. The consciousness of *riji-* or *jiji-muge* is never prior to the appearance of *mumyō-gossō*. *Mumyō-gossō* (Karmic ignorance) both signals the entrance into the world of delusion and bears (by presupposition) metaphysical simultaneity with *etashō* (*paratantra*). A logical and formal priority of the *etashō* (*paratantra*) level, in regard to the *henge* realm, exists; but this is not a temporal one. The *paratantra* level begins to function as soon as the *mumyō-gossō* sets off the process of the *parikalpita* discrimination; for *paratantra* (*etashō*) represents the true, although ideal, nature of *parikalpita* (*henge*). Fundamentally, the *paratantra* is the implicit *permeation of suchness into ignorance*. Contrarily, the *parikalpita* is the explicit *permeation of ignorance into suchness*. The "permeation of suchness into ignorance" (as implicit) remains as the very "ground" of *parikalpita* (mere appearance), as the very identity of essence and appearance, void and form, inner and outer; therefore, it is logically prior. In its dialectical dynamism it "preposits" ignorance as its "otherness" in order to permeate it; and thereby suchness reaffirms and makes

itself explicit. Through the overcoming of its own "alienation from self" *paratantra* (*etashō*) makes its own suchness explicit and returns to suchness: the consciousness of interpenetration is realized. At this point the world of consciousness reveals itself as the intersubjective mesh of universal interinclusion of infinity, which is symbolized by Indra's jeweled net. In this sense the *karmic phenomenon* of germinal consciousness (permeated by ignorance) becomes the very first step in the explication of "original knowledge" (Jap.: *hongaku*; Chin.: *pen-chüeh*) into "explicit knowledge" (Jap.: *shikaku*; Chin.: *shih-chüeh*).[100]

The psychological function by which this making explicit of the "permeations of true thusness into ignorance" (Jap.: *shinnyo-kunjū*; Chin.: *chen-ju hsün-hsi*) takes place within an individual is termed *tongo* (Chin.: *tun-wu*,[101] or sudden intuition). This is used frequently by Tsung-mi. As in *satori* in *Zen*, *tongo* is a sudden cognitive act that is causally unrelated to any previous psychic or even "mystical" experiences. However, the proper training and the practice of higher states of concentration, including the ecstatic blankness of *samādhi*, can be useful in bringing about the proper condition for *tongo*. This is the practice followed by the *kōan* methods in *Zen* Buddhism, and is also advocated by Tsung-mi.

One of the most debated questions in *Zen* and *Kegon*, which concerns the state of enlightenment (*prajñā*), lies in the question of its relationship to other concomitant, preceding, or even subsequent states of consciousness. In numerous *Zen* scriptures, including the "Platform Sutra" of Hui-neng and especially of the *Rinzai* (Chin.: *Lin-chi*) sect, it is bluntly denied that "sudden intuition" is causally connected with the state of utter purity and stillness of mind, wherein all consciousness of particular objects has been arrested. This reference is to the state attained by using the methods of concentration taught by the *Yoga Sūtras* of Patañjali, and through the *Kasiṇa* practice of *Theravāda* Buddhism. Most *Zen* masters, including recent ones such as the late Hsü-Yün,[102] warn that reaching the highest degree of concentration and attaining to a state of psychological emptiness are not themselves related to the intuitive apprehension of "real," "ontic" emptiness. The consciousness of "interpenetration" is a consciousness of the real nature of *paratantra* as permeated by "suchness." Meta-

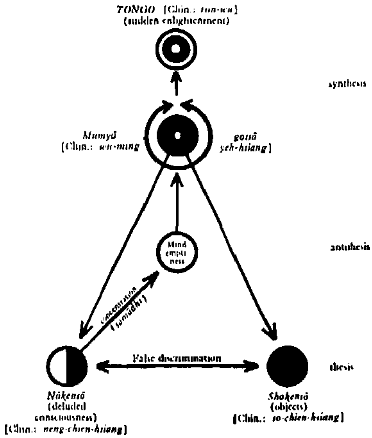
physical interpenetration points to the intrinsic, inner "emptiness" of all things, whereby "exclusion" and "impenetrability" disappear. Things interinclude themselves metaphysically (although not necessarily sensorially or physically). There is no mention of any psychedelic kaleidoscopic visual effects: the myriad things manifest their metaphysical transparency and "interpermeability," but they are not blotted out from consciousness. The obliteration of objects from the field of consciousness, as performed by certain "auto-hypnotic" methods of trance, reaches only a subjective and merely phenomenal emptiness. It is "relative" emptiness: it is the "emptying" of one's own mind, the dusting of the mirror of one's own consciousness, as Hui-neng constantly states in his "Platform Sutra." *Tongo* is a sudden realization of the intrinsic nature of things, not their obliteration. Through *tongo* the mind looks into the ontic emptiness of the multiplicity of things that are "permeated" by the *one* "suchness" (Jap.: *riji-muge*; Chin.: *li-shih wu-ai*); and, as the formal entailment of this "permeating," it looks into things as being "in-one-another": it is the sudden, metarational experience of "nonimpededness' (Jap.: *muge*; Chin.: *wu-ai*).

However, this does not mean that all *Zen* masters and *Kegon* thinkers reject the attainment of mind-emptiness—the psychic "blank of consciousness"—as a harmful or forbidding state.[103] Although one should neither abide in nor cling to this state, acquisition of it is considered useful as a mediating (therefore transitory) stage in the dialectics of "permeation" (Jap.: *kunjū*; Chin.: *hsün-hsi*), which, as stated, is the work of the "infinite self-determinations" of suchness.

The gradual attainment of "mind-emptiness" constitutes a deepening regression into the very base of the stream of consciousness. It fulfills the reaffirmation of the pure subject whose character of priority (*hon*) has been lost in the turbulence of objective multiplicity (*matsu*): it merely constitutes a negation of objectivity, a negation that is not yet a "reabsorbing" and "reincorporating" *one*. The final step as the "negation of negation" will be the one in which the difference of objectivity is preserved within the reconstituted totality of absolute consciousness.

These dialectics of the enlightenment process will be central to Tsung-mi's Kegonian concept. Linked to the above chart on causation

(p. 61), this process of enlightenment could be exhibited as growing within the structure of the *sansai* (Chin.: *san-hsi*) process of deluded consciousness on the *henge* level:



According to this scheme, the state of purified consciousness or "mind-emptiness," which utterly denies all objects, would be an intervening factor (though not an immediate cause) in the genesis of "sudden enlightenment" (*tongo*). This latter, which is represented by Tsung-mi as:  ,[104] is the reaffirmation and the making explicit of utter unity between subject and object, which is potential and "implicit" in *mumyō-gossō*:  . Beginning with *mumyō-gossō*, the process would then entail the following three stages:

1. The first stage exhibits total unawareness of the priority of the subject (*hon*, white side of the *nōkensō* circle) which is made into another object (black side of the *nōkensō* circle) among many. Thereby the subject settles for sheer multiplicity (black *shokensō* circle).

2. The second stage involves a simple, one-sided negation, which, though reaffirming the subject, negates the objects altogether and blots out their determinations from the field of consciousness. This is the highest state of *samādhi*, whereby a self-expanding "blank" consciousness is attained.

3. Finally, the third stage conveys the true "negation of the negation": it negates the oppositional "otherness" of the object, *but preserves* its determinations as "nonother," or as "permeated" with the identity of "true suchness" (this is the result of sudden insight).

The first stage gives forth the sheer multiplicity of the finite. (Thesis)

The second yields a one-sided, all-exclusive unity of illimitation, or, better said, "indefinition." (Antithesis)

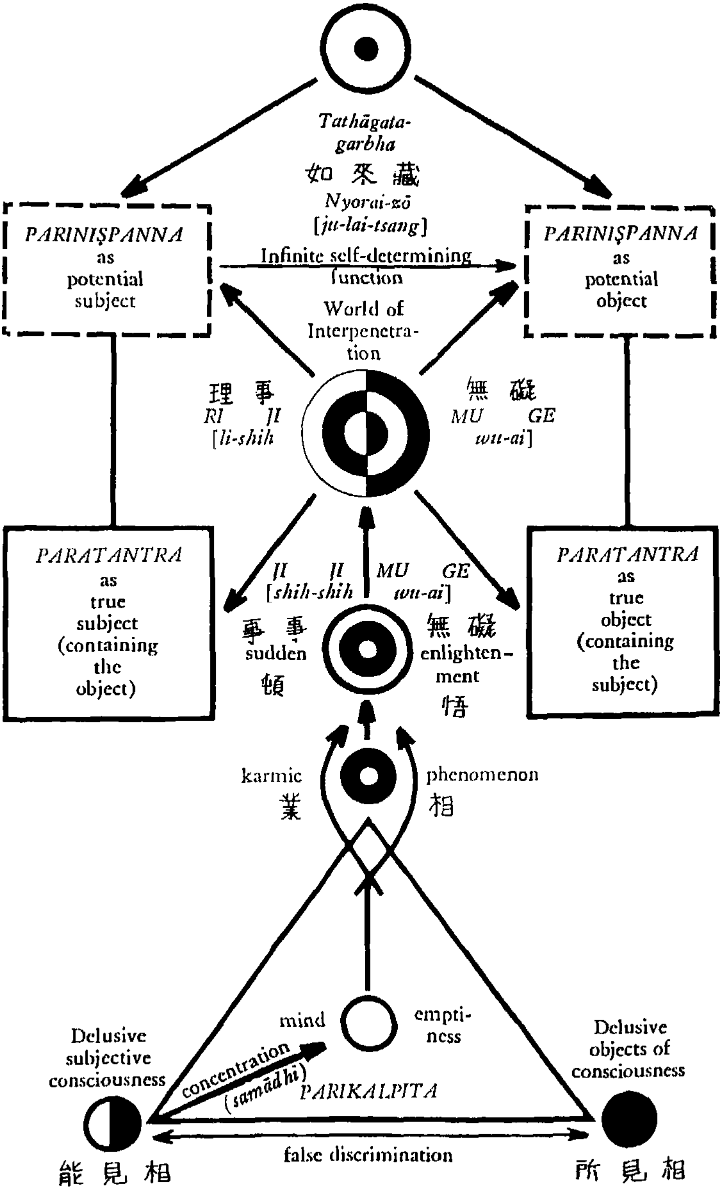
The third reveals an all-sided, all-including unity of illimitation, which incorporates the finite into the infinite. (Synthesis)

In this context *tongo* (sudden enlightenment) would be the cognitive or epistemic function, thrusting itself into the world of interpenetration, and it would connote the ontological aspect of the same realm by the following symbolization:



The chart on page 67 shows the overall framework of the Three Natures in the Kegonian process of enlightenment as the "reversion" (*parāvṛtti*) of the former chart of Kegonian "causation" (see above, p. 61). Thus, it represents the explicit "permeation of suchness" as running counter to the "permeation of ignorance." These two opposing sides of the cycle of the "double permeation," namely "causation" and "reversion," will be the object of detailed study by Tsung-mi:

Kegon (Hua-yen) School.
Chart of Reversion.



Notes

1. 龍 樹 (or Lung-shu; Jap.: Ryūju). Nāgārjuna was born of a *brāhmaṇa* family in South India in the second or third century A.D.

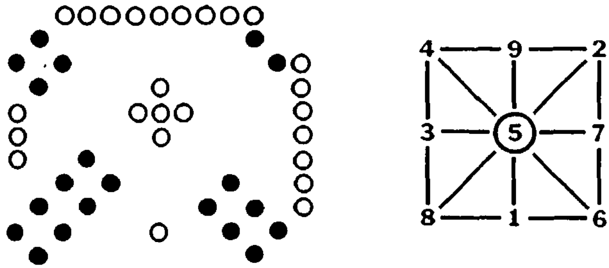
2. 華 嚴 .

3. 大 乘 起 信 論 (or *Ta-ch'eng ch'i-hsin lun*; Jap.: *Daijō-kishinron*).

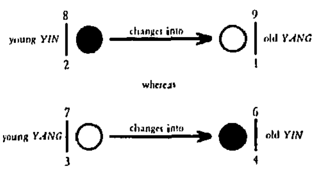
4. 法 相.

5. 曹 洞 五 位 .

6. The "magic square," which according to the legend appeared on the back of a tortoise about 3,000 B.C. is thought to have had the following structure:



All three numbers on any row add to 15. The odd numbers are white (Yang, or active), whereas the even numbers are black (Yin, or passive). The pairs of confronting numbers—8-2 and 7-3—change into the opposite combinations—9-1 and 6-4—as follows:



Thereby the "white" becomes "black," and the "black" becomes "white," and is the oldest symbol of dialetics that ever existed. It is curious to note that any change preserves the identity of the number 10 as the constant addition of confronting numbers.

7. 阿 賴 耶 識 (or *a-lai-yeh shih*; Jap.: *araya-shiki*).

8. Vasubandhu was "converted" from realistic Hīnayāna to Idealism by his brother Asaṅga. Originally Asaṅga's school was called *Yogācāra* (the way of Yoga). It seems that it was Vasubandhu himself who later designated his tenet as "consciousness-only" (*vijñaptimātra*; Chin.: 唯 識 , or *wei-shih*; Jap.: *yuishiki*) and the school as *Vijñaptimātratā* or *Vijñānavāda*.

9. This Pāli passage is taken from the *Aṅguttaranikāya*, pt. 4 (*catukkanipāta*), chapt. 13 (*bhayavagga*), no. 8 (*dutiyatathāgata'acchariya-sutta*). The

meaning of the passage hinges on the meaning of *ālaya*, as "base" or "point of reliance." In this particular scripture, the Buddha is telling Ananda that a Buddha, by his appearance in the world, achieves four wonders in that He frees the beings of four attachments, the first of which is precisely their clinging to *ālaya*.

10. Similar terms are: *mamatā*: The state of "mine," the sense of ownership, or egotism; or *mamāyukta*: egofied, filled with selfishness.

11. Theory of the *Sarvāstivāda* school. The *dharma* elements have been the object of analysis in the different *Abhidharma* texts. The *Abhidharmakośa* of Vasubandhu and their commentators give as a result of the analysis a total of seventy-five *dharma* elements, which are distributed in five categories (五 位 七 十 五 法). The first four categories contain the so-called conditioned *dharmas*, on account of their being mutable and perishable (*saṃskṛta dharma*). They are enumerated as follows: 1. Eleven *rūpa dharmas* (Chin.: 色 法 , or *se-fa*; Jap.: *shikihō*, or visible matter. 2. One *citta* (Chin.: 心 法 , or *hsin-fa*; Jap.: *shinbō*; or Chin.: 心 王 , or *hsin-wang*; Jap.: *shinnō*, or original, contentless, subjective thought. 3. Forty-six *caitta dharmas* (Chin.: 心 所 有 法 , or *hsin-so yu-fa*; Jap.: *shinsho u-hō*, or differentiated psychical functions or conscious activities). 4. Fourteen *cittaviprayukta* (Chin.: 心 不 相 應 行 法 , or *hsin pu-hsiang-ying hsing-fa*; Jap.: *shin fusōō gyōbō*, or nonmental *dharmas*). 5. Three *asaṃskṛta dharmas* (Chin.: 無 爲 法 , or *wu-wei-fa*; Jap.: *muihō*, or nonconditioned *dharmas*, as not subject to mutation and decay): *pratisaṃkhyānirodha* (Chin.: 擇 滅 , or *tse-mieh*; Jap.: *chakumetsu*, or suppression of dharmas by an act of knowledge, *nirvāṇa*); *apratisaṃkhyānirodha* (Chin.: 非 擇 滅 , or *fei-tse-mieh*; Jap.: *hichakumetsu*, or state of "blankness" through mere suppression of *dharmas* without intent); *ākāśa* (Chin.: 虛 空 , or *hsü-k'ung*; Jap.: *kokū*, or space). Another division of *dharmas* as components of the human being is given in the five *skandhas*. This division will be dealt with later.

12. 攝 大 乘 論 (or *She-ta-ch'eng lun*; Jap.: *Shōdaijōron*).

13. Takakusu Junjiro's translation of the term in *The Essentials of Buddhist Philosophy* (Honolulu, 1967), pp. 80 ff. "Ideation" is understood as the process of conscious constitution of objects. The *Vijñānavāda* School is also called *Vijñaptimātratāvāda*, the "Mere Ideation" School.

14. See note 11.

15. 成 唯 識 論 (or *Ch'eng wei-shih lun*; Jap.: *Jōyuishikiron*), 1:3, Chinese translation by Hsüan-tsang of Dharmapāla's work *Vijñaptimātratāsiddhi*. Quoted from Wing-tsit Chan, *A Source Book in Chinese Philosophy* (Princeton, N.J., 1963), pp. 379–382, italics added.

16. Space (*ākāśa*), mere negative extinction (*apratisaṃkhyā-nirodha*), and extinction through enlightenment (*pratisaṃkhyā-nirodha*, or *nirvāṇa*), are the

three nonconditioned *dharmas* (absolutes) of the *Sarvāstivāda* school. See note 11.

17. Kuei-feng Tsung-mi (圭峰宗密 ; 779–841), learned master in the fifth generation of *Kataku Zen* (the line of transmission of the "Sudden School," named after Hui-neng's disciple Ho-tse Shen-hui [Jap.: Kataku Jinne], 668–770). He also came to be regarded as the fifth patriarch of the *Kegon* sect. See further historical information in Kenneth Ch'en, *Buddhism in China: A Historical Survey* (Princeton, N.J., 1964), pp. 248, 316. Some of his texts will be translated and commented upon later in this work.

18. The *Laṅkāvatāra-sūtra* (Chin.: 楞伽經 , or *Leng-chia ching*; Jap.: *Ryōgakyō*) was written between the fourth and fifth centuries. Texts in Sanskrit, Tibetan, and in three Chinese versions, namely: the *Guṇabhadra*, *Bodhiruci*, and *Śikṣānanda* versions. See the translation by D. T. Suzuki, *The Laṅkāvatāra Sūtra* (London, 1956), and his *Studies in the Laṅkāvatāra Sūtra*, (London, 1930).

19. The "waves" in the *ālaya* are meant to arise through the "wind" of ignorance: "Like waves that rise on the ocean stirred by the wind, dancing and without interruption, the ālaya-ocean in a similar manner is constantly stirred by the winds of objectivity, and is seen dancing about with the Vijñānas which are the waves of multiplicity" (from the *Laṅkāvatāra*, chap. 2:46, translated by D. T. Suzuki, *The Laṅkāvatāra Sūtra*, p. 42. See also *ibid*., chap. 4:220, p. 190.

20. *Ibid*., p. 42.

21. *Ibid*., chap. 2:62, p. 55.

22. *Ibid*., chap. 82:220, p. 190.

23. *Ibid*., pp. 192, 193.

24. *Ibid*., p. 193.

25. Edward J. Thomas, *The History of Buddhist Thought* (London, 1963), p. 234.

26. Yoshito S. Hakeda, trans., *The Awakening of Faith Attributed to Aśvaghosha* (New York and London, 1967), pp. 36–37.

27. *Ibid*., p. 13, italics supplied.

28. Suzuki, *The Laṅkāvatāra Sūtra*, p. 21.

29. 心生滅者 , 依如來藏故 , 有生滅心 , or *Hsin sheng-mieh che yi ju-lai-tsang ku yu sheng-mieh-hsin* would read in Japanese (*kundoku*) as follows: *shin shōmetsu to wa nyoraizō ni yoru ga yue ni shōmetsu shin aru nari*: "When it is said that mind 'is born and perishes' [every successive instant], that means that there is mind [*citta*, or thought] that does so in reliance on the *Tathāgata-garbha*." *Sheng-mieh* (Jap.: *shōmetsu*), representing Skt. *nirodhotpāda*, refers to the *Sarvāstivāda* assertion of the momentary character of all *dharmas*, which emerge and submerge every instant. The term may be rendered simply with "impermanent" or, for that matter, with "phenomenal,"

as Hakeda does. See *Daijō-kishinron kōgi*, 2 vols., Chinese and Japanese texts with commentaries by Takada Dōken (Tokyo, 1913), p. 182.

30. 真 如 (or *chen-ju*; Skt.: *tathatā*): "Suchness," or "thusness," meaning "reality," the way "it is as such" in itself and nothing else.

31. The third of the "Triple Body" (*trikāya*) dogma (Chin.: 三 身 論 , or *san-shen lun*; Jap.: *sanjinron*; or Chin.: 佛 身 論 , or *fo-shen lun*; Jap.: *busshinron*) of the *prajñā-pāramitā sūtras*. These are the so-called three Buddha bodies: *Nirmāṇakāya* (Chin.: 化 身 , or *hua-shen*; Jap.: *keshin*; or Chin.: 應 身 , or *ying-shen*; Jap.: *ōjin*), or the body of transformation, the mortal body; *saṃbhogakāya* (Chin.: 報 身 , or *pao-shen*; Jap.: *hōjin*), or the body of enjoyment, the spiritual "reward" body; *Dharmakāya* (Chin.: 法 身 , or *fa-shen*; Jap.: *hosshin*). The *Dharmakāya* is the essence body of all things, which amounts to the immutable Buddha nature, or the "suchness" of all things. In this sense it is a positive connotation of *śūnyatā* (emptiness). According to Suzuki, "The positive statement of *śūnyatā* from the religious and personal point of view is the *Dharmakāya*." D. T. Suzuki, *Essays in Zen Buddhism* (London, 1958), 3:329. *Ālayavijñāna* is nothing but the noetical or *prajñā* aspect of the *Dharmakāya*.

32. "Perfuming," "suffusion," or "permeation" (Chin.: 熏 習 , or *hsün-hsi*; Jap.: *kunjū*; Skt.: *vāsanā*) conveys a twofold connotation, a passive or potential one, which is proper to Asaṅga's *Mahāyānasaṃgraha* and Dharmapāla's *Viñaptimātratāsiddhi*, and an active or causal one, which is proper to the *Śraddhotpāda* (Awakening of faith). In the first connotation, the "permeation" or "perfuming" is like an emanation issuing from every deed and from every act of the development process and leaving an "impression" in *ālaya*. This "impression" remains as *bīja*, or further "emanation germs," which are stored in the "depository" of *ālaya*. This "impression" represents also the passive aspect of "memory," which, considered as potentially active, coincides with the "stimulating agency" in charge of starting anew the discrimination process. Asaṅga's *Mahāyānasaṃgraha* deals with the *vāsanā* (Chin.: *hsün-hsi*) in chapters 2 and 8 (see *Kokuyaku daizōkyō*, case 10, 37:97 ff., 39:414 ff). This active potentiality of "permeation" is the aspect emphasized by the *Awakening of Faith*, which considers the former as a principle of "energy" and "stimulation" towards action (*karma*). Asaṅga and Dharmapāla view *hsün-hsi* (Jap.: *kunjū*, or permeation) as an effect of action rather than a cause, whereas the *Śraddhotpāda* considers it as a cause of action rather than its effect. The dialectical character of the latter connotation is then obvious. See Hegel on the logical "reflexion" between cause and effect, in *Enzyklopädie der philosophischen Wissenschaften*, p. 155, on "*Wechselwirkung*."

33. See above, p. 16.

34. Hakeda, *Awakening of Faith*, p. 59. According to Hakeda, the "permeation through manifestation of the essence [of Suchness]" could be rendered

as "*permeation . . . on its own accord.*" It is an *internal permeation* (Chin.: 內熏, or *nei-hsün*).

35. 不思議業 (or *pu-ssu-i-yeh*; Jap.: *fushigigō*), or mysterious, transcendental actions (*yeh*, *go*, 業, *karma*).

36. Hakeda, *Awakening of Faith*, p. 59. I have added: "by positing the world-object" to Hakeda's otherwise accurate and meaningful translation, in order to account for the Chinese 作境界之性 (or *tso ching-chieh chih hsing*; Jap.: *kyōkai no shō to naru*), which literally means: "becoming the nature of the world of boundaries," i.e., "the limited world." Thereby the character of the "self-permeation" or "self-manifestation" as "self-limitation" or "self-determination" becomes more conspicuous; as a matter of fact the term 境界 (or *ching-chieh*), which in Buddhist terminology means "world within boundaries" or "objective world," means originally: "boundary, frontier, limits," and by extension the very "territory" enclosed within boundaries. The Skt. *visaya*, which is Buddhist for "sense-object" or "object of mentation," originally meant "territory" as well.

37. 覺不覺.

38. 眞忘識和合.

39. 輪迴.

40. 事事無礙.

41. 遍計所執性 (or *pien-chi so-chih hsing*; Jap.: *hengeshoshūshō*; or just *pien-chi*; Jap.: *henge*).

42. 能遍計 (or *neng-pien-chi*; Jap.: *nōhenge*); 所遍計 (or *so-pien-chi*; Jap.: *shohenge*).

43. 依他起性 (or *i-t'a-ch'i hsing*; Jap.: *etakishō*; or simply *i-t'a-hsing*; Jap.: *etashō*).

44. 圓成實性 (or *yüan-ch'eng shih-hsing*; Jap.: *enjōjisshō*); or 眞實性 (or *chen shih-hsing*; Jap.: *shin-jisshō*); or simply *enjō*. These "three natures" are often expressed briefly by the formula containing the three fundamental characters: 遍, 依, and 圓 (or *pien*, *i*, and *yüan*).

45. 實我實法, meaning "real ego, real *dharmas*"; this impression of "reality" or "substantiality" is illusory.

46. 攝論.

47. 攝大乘論 (or *She-ta-ch'eng lun*; Jap.: *Shōdaijōron*). There are two Chinese versions available, one by Paramārtha in fifteen rolls (卷, or *chüan*), and the second by Hsüan-tsang (玄奘; Jap.: Genjō) in ten rolls or volumes.

48. 阿梨耶識 (or *a-li-yeh shih*; Jap.: *ariya-shiki*) is the phonetic transcription of *ālaya* worked out by Paramārtha (Chin.: 眞諦, or Chen-ti; Jap.: Shintai, 449–569), whose translations of the *sūtras* from Sanskrit into Chinese were used mostly by the *San-lun* and old *Fa-hsiang* schools. This is

also the version used by Tsung-mi. The new *Fa-hsiang* school uses Hsüan-tsang's transcription *a-lai-yeh shih* (Jap.: *araya-shiki*).

49. See above, note 48.

50. See J. Masuda, *Der individualistische Idealismus der Yogacara Schule* (Heidelberg, 1926), p. 43. Masuda seems to have exaggerated the individual character of *ālaya*, which he claims to have been kept throughout the *Yogācāra* philosophy. This cannot be easily said of the new *Fa-hsiang* school of Hsüan-tsang.

51. *Pratibhāsa*, "similitude" (Chin.: 似, or *ssu*; Jap.: *ji*; or Chin.: 變似, or *pien-ssu*; Jap.: *henji*). *Pien-ssu* is the formula intentionally used by Hsüan-tsang in his translation of the *Mahāyānasaṃgraha* (*She-ta-ch'eng lun*), in order to bring the concept of *pratibhāsa* closer to his *pariṇāma* (Chin.: 轉變, or *chuan-pien*; Jap.: *tempen*) conception. As a matter of fact, Paramārtha translates *pratibhāsa* simply as 似, or *ssu*. See Ueda Yoshibumi, *Yuishiki-shisō nyūmon* (Tokyo, 1964), p. 126.

52. 妄識.

53. 眞識, or *chen-shih*.

54. 阿摩羅識 (or *a-mo-lo shih*; Jap.: *amara-shiki*, the phonetic transcription from the Sanskrit); or 淸淨識 (or *ch'ing-ching shih*; Jap.: *shōjō-shiki*, or pure consciousness).

55. Work mentioned above, see note 51.

56. See above, note 51.

57. 本識, or *pen-shih*, "fundamental," "original," or "basic" consciousness, another designation of the *ālaya*.

58. Here "permeation" is taken in the passive sense. See above, note 32.

59. 種子, or *chung-tzu*; this term is also used to designate the *ālaya* as 種子藏識 (or *chung-tzu tsang-shih*; Jap.: *shūji-zōshiki*), or "seed-store consciousness."

60. 能緣, or *neng-yüan*, and 所緣, or *so-yüan*. The Jap. *shoen* (Chin.: *so-yüan*) in *Kundoku* might be read as *en-zuru tokoro*, "that which one takes as an *ālambana*" (world object).

61. 能緣主體 (or *neng-yüan chu-t'i*; Jap.: *nōen-shutai*).

62. 十地經論 (or *Shih-ti-ching lun*; Jap.: *Jūjikyōron*); this is a commentary of Vasubandhu to the *Daśabhūmika sūtra* (十地經), which was formerly translated into Chinese by Śīladharma and enclosed in the 華嚴經十地品 (or *Hua-yen ching shih-ti p'in*; Jap.: *Kegongyō jūji-bon*) (*Taishō daizōkyō*, vol. 10, no. 287). The *Jūjikyōron* of Vasubandhu has twelve rolls (*Taishō daizōkyō*, vol. 26, no. 1522). These texts deal extensively with the ten *bhūmis* or Bodhisattva steps towards Buddhahood, and serve as the basis for the ten "reversion" steps in Tsung-mi's *ariya-shiki* scheme, to be studied later. Ti (地) stands for *bhūmi* (or *pṛthivī*); *bhūmi* as well as *ti* originally

meant "earth," "soil," or "ground"; the Sanskrit word is also used as "position," "step," or "degree."

63. The *Ch'eng wei-shih lun* (成唯識論) was compiled in Sanskrit by Dharmapāla (Chin.: 護法 , or *Hu-fa*; Jap.: *Gohō*) about A.D. 557 and was translated into Chinese by Hsüan-tsang about 659 (See *Taishō daizōkyō*, vol. 31, no. 5185). There is another Chinese version by Sthiramati (Chin.: 安慧 , or An-hui; Jap.: Anne). The *Trimśikākārikā* (Chin.: 唯識三十論頌) of Vasubandhu, on which the *Ch'eng wei-shih lun* is based, dates from A.D. 450.

64. 地論家 (or *ti-lun-chia*; Jap.: *jironka*), or the house of those relying on the *Ti-lun*, a shortened designation of the *Shih-ti ching lun*; see above, note 62.

65. 唯識 , or *wei-shih*.

66. 轉變 .

67. 唯識緣起 , or *wei-shih yüan-ch'i*.

68. See above, notes 32 and 59.

69. 習氣 , or *hsi-ch'i*, literally means "permeating vapor," the agent of "permeation." See above, note 32.

70. 念 , or *nien* (Jap.: *nen*; Skt.: *smṛti*).

71. See note 66.

72. 六根 (or *liu-ken*; Jap.: *rokkon*), the six sensorial "bases," a frequent designation of *manovijñāna* and the five senses.

73. See chart above, p. 38.

74. 法 .

75. See above, note 63.

76. 忘分別 , or *wang-fen-pieh*.

77. 染分依他性 (or *jan-fen i-t'a-hsing*; Jap.: *zembun-etashō*), or "tinged entities," also called 有漏 (or *yu-lou*; Jap.: *uro*), or "leaking-entities," which symbolizes the "soil-leaking" character of such "unclean" *dharmas*. Those *dharmas* are accompanied by 煩惱 (or *fan-nao*; Jap.: *bonnō*; Skt.: *kleśa*, or passions). The 淨分依他性 (or *ching-fen i-t'a-hsing*; Jap.: *jōbun-etashō*) are called 無漏 (or *wu-lou*; Jap.: *muro*), or "not leaking." (See *Jōyuishikiron*, in *Kokuyaku daizōkyō*, case 10, 38:185 ff.)

78. 本覺 .

79. D. T. Suzuki, *Manual of Zen Buddhism* (London 1957), p. 51.

80. See above, pp. 18–25.

81. 入法界品 (or *Ju fa-chieh p'in*; Skt.: *Dharmadhātu praveśa*). 法界 (or *fa-chieh*; Jap.: *hokkai*), the Chinese-Japanese expression for *Dharmadhātu* as "Interpenetration world," is expressed in the *Avataṃsaka-sūtra* by the formula 事事無礙法界 (or *shih-shih-wu-ai fa-chieh*; Jap.: *jijimuge-hokkai*). Things (Chin.: *shih-shih*; Jap.: *jiji*) in the *Dharma-dhātu* do not exclude from each other (*wu-ai*, Jap.: *muge*), they do not oppose

each other, as in the jeweled net, where every precious gem encloses the reflexions of the others.

82. For further information on Fa-tsang and his theories, see Fung Yu-lan, *A History of Chinese Philosophy* (Princeton, N.J., 1953), 2:339–359; and Junjiro Takakusu, *The Essentials of Buddhist Philosophy* (Honolulu, 1947), pp. 111–125.

83. As quoted by Fung Yu-lan, *A History of Chinese Philosophy*, 2:353.

84. 融 通 (or *yung-t'ung*; Jap.: *yūzū*, literally, "melting and passing through") is to be considered as a formal effect of 無 礙 (or *wu-ai*; Jap.: *muge*), or "nonimpededness."

85. See above, note 81.

86. See above, note 17.

87. See above, note 44.

88. 不 變 (or *pu-pien*; Jap.: *fuhen*).

89. 隨 緣 (or *sui-yüan*; Jap.: *zui'en*).

90. 理 , or *li* (Jap.: *ri*).

91. 無 性 (or *wu-hsing*; Jap.: *mushō*), or "absence of nature." The *i-t'a-hsing* (*paratantra*) entities do not possess a "self-nature" from the standpoint of 本 (or *pen*; Jap.: *hon*), or origin. The "rope" is not a rope from the standpoint of origin, but is only "hemp." It comes close to the character of the *paratantra* (Chin.: *i-t'a-hsing*; Jap.: *etashō*), the not being *a se* but *ab alio*, although not in the scholastic sense, since the *paratantra* entities in the Buddhist context are *ad intra* of absolute consciousness (*ālaya*), and never *ad extra* of an absolute Creator.

92. 似 有 (or *ssu-yu*; Jap.: *ji-u*).

93. 理 事 (or *li-shih*; Jap.: *riji*).

94. 理 無 (or *li-wu*; Jap.: *rimu*).

95. 情 有 (or *ch'ing-yu*; Jap.: *jō-u*).

96. Properly speaking, it cannot be said that the *dharma* world of interpenetration is based on a monistic conception; it is both supramonistic and suprapluralistic. This is asserted in the *Chin-kang chüeh-yi* (Jap.: *Kongō ketsugi*), a commentary to the *Vajracchedikā-prajñā-pāramitā Sūtra* by the Zen master Han-shan (寒 山), of the seventeenth century: "The real is neither monistic nor pluralistic. . . . As *prajñā* is immaterial, the phenomenal should be looked into first for the subsequent entry into the void which is called 'absolute voidness,' because of the identity of the seeming with the real." (See Lu K'uan Yü (Charles Luk), *Ch'an and Zen Teaching*, 1st series [London 1960], pp. 204 f.)

97. 三 相 (or *san-hsiang*; Jap.: *sansō*); or 三 細 (or *san-hsi*; Jap.: *sansai*).

98. See G. W. F. Hegel, *Enzyklopädie der philosophischen Wissenschaften*, on "*Die fühlende Seele*," 403–404, pp. 328–330.

99. See above, p. 44.

100. 始覺 (or *shih-chüeh*; Jap.: *shikaku*), literally means "knowledge that begins" or "knowledge that has a discrete beginning, here and now" (*satori*), as signifying the "becoming" character of the manifestation of "original knowledge" (Chin.: 本覺, or *pen-chüeh*; Jap.: *hongaku*), which is invariably inherent to the innate Buddha nature itself. Like the *Dharmakāya* and identical with it, *pen-chüeh* is at least implicitly present in the *i-t'a-ch'i hsing* (*paratantra*) nature.

101. 頓悟 (or *tun-wu*; Jap.: *tongo*), or "sudden enlightenment" (*satori*) in *Zen* Buddhism.

102. Master Hsü-Yün was 119 years old when he died in October 1959 in a monastery in Kiangsi Province. His works and *Ch'an* instructions have been translated and published by his disciple Charles Luk (Lu K'uan Yü). See Lu K'uan Yü, *Ch'an and Zen Teaching*, 1st series, pp. 19–117.

103. I deal with this state of mind, called by *Hsü-Yün* "reaching the top of the hundred foot pole," in Alfonso Verdu, *Abstraktion und Intuition als Wege zur Wahrheit* (Munich, 1965), pp. 164–178.

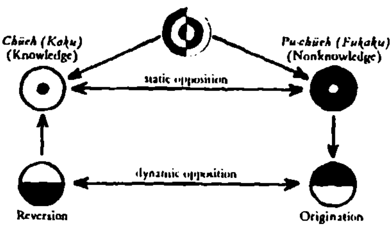
104. From Tsung-mi's, *Ch'an-yüan chu-ch'üan-chi tu-hsü*, see below, note 2 of part 2.

Part II

The A-li-yeh shih Scheme of Kuei-feng Tsung-mi, and the Wu-chiao Dialectics

1
Introduction

Kuei-feng Tsung-mi (Jap.: Keihō Shūmitsu, A.D. 779–841)[1] has been frequently mentioned in the preceding chapters. The *a-li-yeh shih* (Jap.: *ariya-shiki*) scheme devised and explained by this great patriarch of *Kegon* and master of *Zen* contains the epitome of Buddhistic philosophy in its highest form of development. It is founded upon the Kegonian conception of the *ālayavijñāna* as identical with the *Tathāgata-garbha* and with the *dharmadhātu* (*shih-shih-wu-ai fa-chieh*; Jap.: *jijimuge hokkai*, or world of interpenetration). The scheme appears in one of the less studied works of the master: the *Ch'an-yüan chu-ch'üan-chi tu-hsü* (Jap.: *Zengen-shosenshū tojo*, or Inquiries into the origins of Zen).[2] Diagrammatically it deploys itself in ten stages of "origination" and ten corresponding stages of "reversion," and has as its backbone the following fivefold dialectical structure:



Through its alternating black and white circular sectors the *a-li-yeh shih* symbol  depicts the level of "interpenetration" (either implicit or explicit) between all subjects and objects. It is viewed as the great synthesis that underlies the opposition between (1) the original state of the *tathatā* principle (*chen-ju men*; Jap.: *shinnyo-mon*),[3] represented by the symbol , which shows its potentiality to origination; and (2) the "depenetrated" state of the "impermanent world" (*sheng-mieh men*; Jap.: *shōmetsu-mon*),[4] represented by the circle , which shows its seed of potential "reversion" to permanency as symbolized by the white dot.

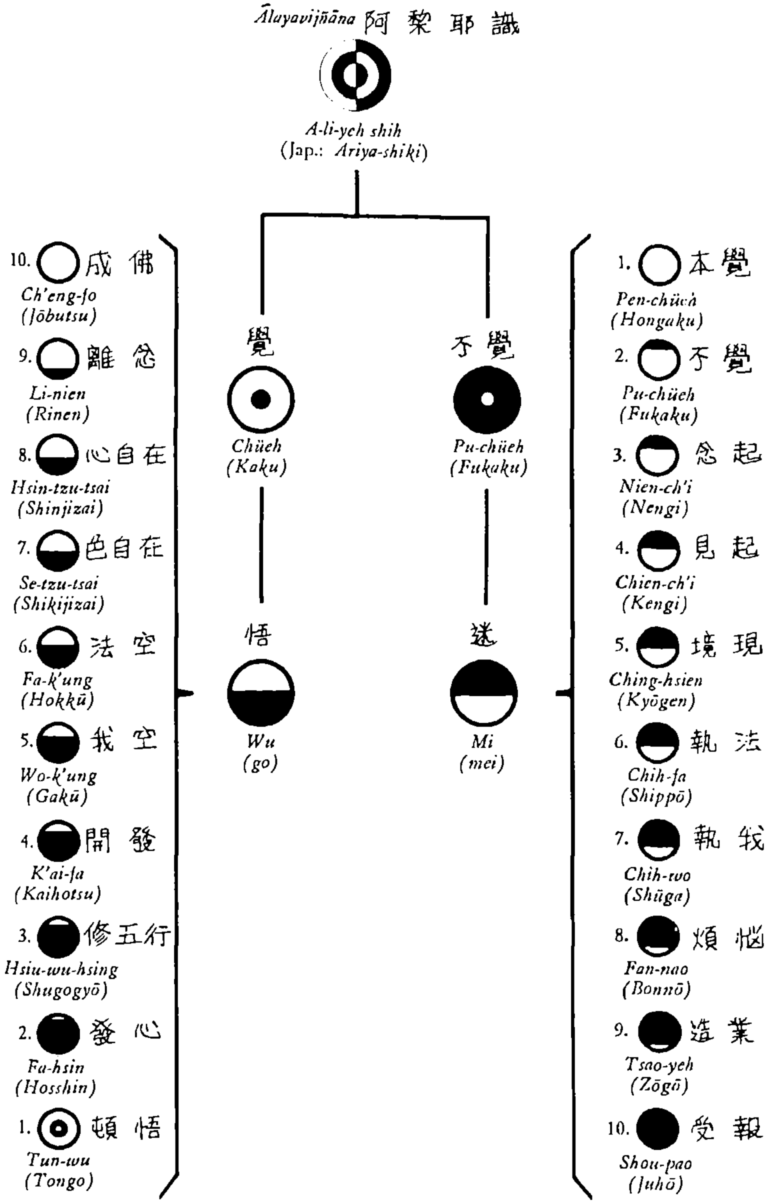
Tsung-mi calls these two apparently opposite states of universal

being *chüeh* (Jap.: *kaku*, or state of knowledge), which contains a seed of *pu-chüeh* (nonknowledge), and *pu-chüeh* (Jap.: *fukaku*, or state of nonknowledge), which contains a seed of *chüeh* (Jap.: *kaku*, or knowledge as a future event or potential "enlightenment"). Notionally these two opposite states are considered as primordially static; whereas the two sectioned circles below represent the dynamic process of "causation" (*pariṇāma*) and "reversion" (*parāvṛtti*). The two processes of the cycle develop in ten progressive stages: the "causation" process is dynamically symbolized by ten circles in sectional form that advance gradually, from total "whiteness" into total "blackness," in a manner that is reminiscent of a waning moon; and the reversed process of "reversion" is pictured by the opposite symbolism, namely, ten circles that progress gradually from total "blackness" into total "whiteness," as does a waxing moon. The complete diagram is reproduced on page 81.

The previously explained *pariṇāma* (*chuan-pien*; Jap.: *tempen*) notion of the new *Fa-hsiang* school, in accordance with the Kegonian interpretation, is fundamental in Tsung-mi's conception of the steps of "origination." The two basic structures of *san-hsing* (Jap.: *sanshō*, or three natures) and *san-hsi* (Jap.: *sansai*, or three subtleties, or threefold structure of deluded consciousness) underlie the ten steps of "relativization."

The doctrine of Three Natures explained above is symbolized, in Tsung-mi's scheme, by the parable of a "wealthy and noble man, endowed with righteousness and wisdom" (this representing *parinișpanna*), who freely chooses to live confined in a small, narrow dwelling (this symbolizing the abode of individual "selfhood," which represents *paratantra*). While in this limited dwelling he falls asleep (this sleepiness symbolizing the effect of *pu-chüeh* [Jap.: *fukaku*], or nonknowledge), and begins to dream and to imagine himself as a poverty-stricken wretch (this representing *parikalpita*).

In this stage, the emerging of illusory discrimination, the threefold *pariṇāma* developmental process of consciousness, begins with the rise of the primordial "consciousness phenomenon" (*yeh-hsiang*; Jap.: *gossō*) or "rise of discrimination" (*nien-ch'i*; Jap.: *nengi*); and this marks the outset of dreaming, which evolves into the rise of "subjective consciousness" and of the "being subject" sense (*neng-chien-hsiang* or



Ālayavijñāna 阿梨耶識
A-li-yeh shih
(Jap.: Ariya-shiki)
覺
Chüeh
(Kaku)
不覺
Pu-chüeh
(Fukaku)
悟
Wu
(go)
迷
Mi
(mei)
10. 成佛
Ch'eng-fo
(Jōbutsu)
9. 離念
Li-nien
(Rinen)
8. 心自在
Hsin-tzu-tsai
(Shinjizai)
7. 色自在
Se-tzu-tsai
(Shikijizai)
6. 法空
Fa-k'ung
(Hokkū)
5. 我空
Wo-k'ung
(Gakū)
4. 開發
K'ai-fa
(Kaihotsu)
3. 修五行
Hsiu-wu-hsing
(Shugogyō)
2. 發心
Fa-hsin
(Hosshin)
1. 頓悟
Tun-wu
(Tongo)
1. 本覺
Pen-chüeh
(Hongaku)
2. 不覺
Pu-chüeh
(Fukaku)
3. 念起
Nien-ch'i
(Nengi)
4. 見起
Chien-ch'i
(Kengi)
5. 境現
Ching-hsien
(Kyōgen)
6. 執法
Chih-fa
(Shippō)
7. 執我
Chih-wo
(Shūga)
8. 煩惱
Fan-nao
(Bonnō)
9. 造業
Tsao-yeh
(Zōgō)
10. 受報
Shou-pao
(Juhō)

chien-ch'i; Jap.: *nōkensō* or *kengi*), which is comparable to active "imagining" in dreaming. Finally, this active "imagining" is replaced by the "objectivation" of such "imagining" in the form of "outer world" and "self-body": this is the *so-chien-hsiang* (Jap.: *shokensō*) or, in Tsung-mi's terminology, *ching-hsien* (Jap.: *kyōgen*, or emerging of sense fields [objective world]). After this threefold process, the deluded mind accepts the objectivation of this "dreaming-imagining" as a stable and self-sufficient reality; and in this manner brings about the delusive third nature, namely, *parikalpita*. The "rich and noble man" dreams that he is on an alien level of existence in which he sees himself as a wretch stricken by hardship and poverty; and he imagines this to be his real self, whereas in reality he is not only wealthy and noble, but originally free of all limiting confinement. From this viewpoint the entire sequence of attachment to the self and to the ensuing world of *dharmas* follows (*chih-fa* and *chih-wo*; Jap.: *shippō* and *shūga*): with this, the soaring of the passions (*fan-nao*; Jap.: *bonnō*) and, consequently, the work of *karma* and its closed cycle of remuneration (*tsao-yeh, shou-pao*; Jap.: *zōgō, juhō*) are set off.

A detailed explanation of each one of the steps shown by the scheme follows.

2

The Ten Stages of Origination (mi-yu shih chung; Jap.: mei-u jūjū, or "there are ten steps of delusion)"[5]

1. *Pen-chüeh* (Jap.: *hongaku*), "original knowledge." The point of departure is the "original knowledge" that is fundamentally and implicitly possessed by all sentient beings as their true nature. In Tsung-mi's words (in the author's translation):

> It is said that there is original knowledge in all sentient beings. This is similar to the wealthy and noble man endowed with righteousness and wisdom,[6] who chooses to confine himself to living in the [limited] abode of selfhood.

It is important to note the explicit reference to "self-limitation": the "wealthy and noble man" (representing the *Dharmakāya* as the seat of original knowledge) "chooses to confine himself" to a limited abode: the *parinişpanna* becomes *paratantra*. Thereby the self-determining character of the "substance" through its "self-permeating" function is pointed out as the true doctrine of the *Awakening of Faith* treatise (see above, chapter 1, pp. 21–24).

2. *Pu-chüeh* (Jap.: *fukaku*), "nonknowledge" or "unawareness." This step signifies the departure from the original nature (*pen-lai*; Jap.: *honrai*) as a natural consequence (*fa-erh*; Jap.: *hōni*)[7] of "unawareness." By the limitation of the universal into the particular, knowledge is negated and ignorance is posited as a concomitant of limitation. It is like the "noble and wealthy man," who, after freely confining himself to the limited abode of "individuality," goes to sleep for the night and thereby becomes totally "unaware" of his true nature. Here, this negative aspect of mere "unawareness" (*pu-chüeh*; Jap.: *fukaku*) is emphasized by the metaphor of "falling asleep" (*shui*; Jap.: *sui*).[8] As Tsung-mi expresses it:

> Before encountering the instruction of a good friend [*shan-yu*; Skt.: *kalyāṇamitra*], the natural consequence [*fa-erh*; Jap.: *hōni*] is that he is totally unaware. In his unawareness, he goes astray with respect to reality. The treatise [*Śraddhotpāda*][9]

says, "One who is not realistically aware of the dharma of real thusness is like a man who falls asleep in his own abode [of selfhood] without [even] knowing it."

3. *Nien-ch'i* (Jap.: *nengi*), "rise of mindfulness." This step signals the beginning of "wrong" thinking and deluded mindfulness. The "noble man," as he falls asleep, not only becomes unaware of his original and true status; he also, as a natural sequence, begins to dream, thus setting off a process of deluded awareness or wrong discrimination. The arising of the "karmic consciousness phenomenon" (*yeh-hsiang*; Jap.: *gossō*)—the first of the three subtleties—is here represented by the primordially vague and chaotic state of the discriminating mind, prior to the eventual split between the subject of dreaming and its phantom parade of objectivity. This clear-cut split between subject and object is explained in the two following steps. In Tsung-mi's words:

Because of one's unawareness, as a natural consequence [false] mindfulness arises, just as sleep has dreams as its natural consequence. The treatise [*Śraddhotpāda*] says: "Because of unawareness, one's thought begins to stir: this is called '[original] *karma*.'[10] Of the three subtle signs,[11] this is the first."

4. *Chien-ch'i* (Jap.: *kengi*), "rise of viewing." This stage describes the second of the three subtleties (*neng-chien-hsiang*; Jap.: *nōkensō*, or subject phenomenon),[12] which constitutes the "consciousness of being a subject." After the process of dreaming has started, the "noble man" falsely distinguishes himself as somebody he really is not. False notions about his "dreamed" status (that is, about who he is) begin to arise. Thus a particular and wrong way of "viewing" becomes manifest, inasmuch as he is "mindful" of himself in a deluded way. His subjective, "deluded" viewing will then condition and falsify his relationship to the discriminated things he sees in his dreams: "Due to the rise of mindfulness, there is the rise of the 'seer' [as subject],[13] which is like the notions one might have [about one's own self] in a dream.[14] The treatise says: 'Due to the stirrings, there is viewing. If there were no movement, there would be no viewing.' "

5. *Ching-hsien* (Jap.: *kyōgen*), "emerging of the phenomenal world." Now the third of the *san-hsi* (Jap.: *sansai*, or three subtleties)

is explained by Tsung-mi. It represents the emerging of the objects of delusion, wrongly discriminated by the dreaming and also the "dreamed" subject. They constitute the noematic contents (*so-chien-hsiang*; Jap.: *shokensō*) of the subjective activities described in the previous stage. These are the objects of the senses making up the "phenomenal world" (*ching*; Jap.: *kyō*;[15] Skt.: *visaya*). It comprises the entire manifold of sensorial elements that are perceived by the first six types of consciousness—the six bases (*liu-ken*; Jap.: *rokkon*)[16] of phenomenal knowledge—comprehending the five external senses and *manovijñāna*.[17] In Tsung-mi's conception, *kyōgen* implies the simultaneous turning of the *paratantra*, represented by the wealthy and noble man confining himself to the narrow abode of "selfhood," into the proper *parikalpita* (illusory being). It is important to note that the phenomenal objects (*parikalpita*), like the phantoms of the dream, are conditioned by the false "viewing" of the subject. Thus the dreaming subject falsely sees himself as a wretched and miserable individual who takes a view of a multitude of objects and wrongly discriminates among them, either as good for him, or as bad. As translated from Tsung-mi's text:

> On account of the rising of "viewing" [subjective consciousness], there is the emergence of illusion concerning both the sensorial body and the world,[18] just as the [wise and rich] man, falsely discriminating himself in his dream, sees his own [separate] body to be in an alien realm of existence[19] in which he [being originally wealthy and noble] appears in poverty and hardships, a stricken wretch, who has a view of a world object full of a variety of good and evil things.

The fact that the "dreamer" views himself as "poor and wretched" in spite of his actual nobility and wealth reminds one of the above-mentioned simile of the "ignoramus" who becomes afraid of the "snake," which is only a "rope" made of "hemp." Tsung-mi's simile is even more significant, because it emphasizes the positive, although implicit, character of the *parantantra* nature in its original "wealth and nobility"; whereas the simile of the "snake, rope, and hemp" seems to emphasize rather the *Mādhyamika* doctrine of emptiness.

Thus Tsung-mi's comparison is more in keeping with the *Kegon* doctrine of "totalism" and "inclusivism."

6. *Chih-fa* (Jap.: *shippō*), "attachment to *dharmas*." The multitude of the illusorily substantial *dharmas* as "*parikalpita* existences" provide the immediate objects of "clinging" and "attachment" of the will. As Tsung-mi states:

> And because one does not realize that [such world-objects] emerge from one's own ultimate mind, one thinks them to be real existences and attaches oneself to them; and this is called "*attachment to dharmas*." This is similar to the one who is in the midst of a dream: as a natural consequence he unavoidably becomes attached to the [imagined] things of an object-world,[20] [on account of] taking them for real existences.

7. *Chih-wo* (Jap.: *shūga*), "attachment to self." In the new *Fa-hsiang* doctrine this attachment to self always has been considered as an immediate effect of the "seventh consciousness," or *kliṣṭamanas*; namely, the factor that determines the sense of individuality. Thus *chih-wo* (Jap.: *shūga*) points out the intrinsic character of *kliṣṭa-manas*, which is essentially the source of egotism (*ātmadṛṣti*) or love of self (*ātmasneha*). Hence, the name *ādānavijñāna* was given to the "seventh consciousness" by the *Daśabhūmivyākhyāna* and the *Mahāyānasaṃgraha*. *Ādānavijñāna* is often translated into Chinese as *chih-ch'ih shih* (Jap.: *shūji-shiki*),[21] which literally means the "gripping" or "clutching consciousness."

Tsung-mi does not mention the direct dependence of the "attachment to self" on *ādānavijñāna*, rather he places it as an immediate effect of a further "objectivation" in discriminating "oneself" from "other selves." This causes the "primordial self" to imagine that it is an independent, substantial ego (as counteropposed to "others"); consequently, it clings to this fancied condition. The fact that the "primordial self" dreams of itself as if it were in a world of indigence makes the emergence of "self-love" more dramatic and forceful. In a world of indigence, "selfishness" is the spontaneous and natural way of "self-survival." In Tsung-mi's words:

> Once his hold on the *dharma* entities[22] becomes fixed, he sees a difference between self and other, [falsely] reckoning the "self"

> to be "me" [as independent ego].[23] This is called "attachment to self," just as when in a dream one stubbornly [but falsely] recognizes the poor wretch in an alien world [of existence] to be one's true self.[24]

8. *Fan-nao* (Jap.: *bonnō*), the "defiling forces," "passions," or "afflictions" (Skt.: *kleśa*). These are the natural consequence of attachment to *dharmas* and to self. The three fundamental passions are called *san-tu* (Jap.: *sandoku*, or three poisons, three evils),[25] namely, "lust, hatred, and stupidity."

> Once one takes the four great elements[26] to be one's own person, then in lust one succumbs to external circumstances and objects,[27] in hatred one resists them;[28] then, when one's stupid delusion has become an incurable habit, one resorts to [false] calculations,[29] just as the attractive and unattractive things one dreams of seeing in an alien world [of existence] are [manifestations of] lust and hatred.

9. *Tsao-yeh* (Jap.: *zōgō*), the "performing of deeds" (*karma*). The outbreak of the three fundamental passions (*kleśa*) is the reason for performing good and evil deeds (*kuśalākuśalakarmāṇi*) submitted to the chain of *karmic* reward: "Once the Three Poisons[30] break out, one does good and evil deeds and the like,[31] just as in a dream one may steal, beat, and curse,[32] or one may do deeds of kindness and spread good and the like."[33]

10. *Shou-pao* (Jap.: *juhō*), "*karma* remuneration or *karma* fruit" (*karmaphala*). This stage signifies the chain of remuneration according to good and evil deeds and, consequently, the closed cycle of ever-recurring birth and death (*lun-hui*; Jap.: *rinne*;[34] Skt.: *saṃsāra*). In the scheme, evil deeds are summarized by two fundamental offenses: *t'ou-to* (Jap.: *tōdatsu*, or robbing, seizing) and *ta-ma* (Jap.: *daba*,[35] or reviling, abusing, murdering). Good deeds and merciful works, such as giving alms and so forth, are given due recompense. The idea of *karmic remuneration* through the illusory cycle of "birth-death-rebirth" seems to further correspond to the simile of the "noble man" who dreams of himself as a "wretch" being punished for his "dreamed" evil deeds, or dreams of being rewarded for his "dreamed" good deeds. This would even imply that the individual mind goes from one exist-

ence into another (from death into rebirth and so forth), as the dreaming man goes from one nightmare into another, without ever awakening into awareness of his true "noble" nature. In Tsung-mi's own words:

> When a deed has been done, [its consequences are] inescapable, just as shadow and echo respond to form and sound. That is why one suffers the woes of the six destinies, bound as they are to one's deeds. A particular body, once one has got it, is not a *dharma* that one can sever; hence there are no measures to be taken against it; just as in a dream one may suffer, for theft, assault, or abusive language, such fixed punishments as stocks, pillory, or prison; while for kindness done [to others] one may reap the reward of recommendation for, and appointment to, high official rank or function.

The "six destinies" (*liu-tao*; Jap.: *rokudō*)[36] refer to the six worlds or levels of existence in Buddhist mythology in which living beings are reborn according to the quality of their *karma*. These worlds are described as: hells, the world of hungry spirits, the world of *asuras* (demons), the world of animals, the world of men, and the world of *devas* (heaven). All of them, including the *devas* (beings that enjoy a blissful world of reward), have to break through the barrier of the karmic sequence of dreams in order to awaken to true reality and Buddhahood. The process of this awakening is described in the following "Ten Steps of Reversion."

3
The Ten Stages of Reversion

The "'reversion" or "return to knowledge" takes place in ten gradual steps which generally convey the antidote against each one of the ten stages of delusion and defilement. The ten gradual steps of "reversion" include, in turn, both a purificatory ascent and a growth in wisdom towards definitive Buddhahood. The intuitive function of "sudden enlightenment" (*tun-wu*; Jap.: *tongo*), which awakens the deluded, dreaming mind back to true "knowledge" (*chüeh*; Jap.: *kaku*), is at the very base of the whole process.

It might be argued that the point of departure for the way up to Buddhahood seems to be the same as for the path to "delusion." However, an essential difference separates the concepts of "original knowledge" (*pen-chüeh*; Jap.: *hongaku*) and "sudden enlightenment" (*tun-wu*; Jap.: *tongo*). The term *pen-chüeh* (Jap.: *hongaku*) directly connotes a fundamental and primordial state of purity that provides the seed of actual enlightenment, whereas "sudden enlightenment" constitutes the actualization of such a potentiality. In this sense, "sudden enlightenment," as a correlate of original knowledge (*pen-chüeh*; Jap.: *hongaku*), is also called *shih-chüeh* (Jap.: *shikaku*),[37] the "initial" or "genetic knowledge." *Pen-chüeh* is a static, innate quality of the individual existence rooted in its universal "suchness." *Shih-chüeh*, however, is a dynamic, outbreaking actualization thereof, and, as such, it is conditioned by the relativity of the very psychic functions that otherwise lead to discrimination.

The ten gradual steps of "reversion" are proposed according to the *Sanron* (*Mādhyamika*) and *Kegon* interpretation of the ten stages of the *Bodhisattva* path as given in the *Daśabhūmi Sūtra* and Vasubandhu's commentary *Daśabhūmivyākhyāna*.[38] Tsung-mi's steps follow the general pattern of these texts, although they contain quite a number of features from the *Mādhyamika* and *Kegon* that make them considerably different. The ten steps will be examined one by one:

Wu yu shih chung (Jap.: *Go'u-jūjū*):[39]
"There are ten steps to enlightenment."

1. *Tun-wu pen-chüeh* (Jap.: *tongo hongaku*), "sudden enlighten-

ment about one's original knowledge." As has been mentioned, the ten gradual steps do not involve a previous preparation for the attainment of *satori* (enlightenment, awakening); rather they are subsequent to *satori* and presuppose *satori.* Insisting upon what was stated in the above paragraphs, we repeat that *satori* must be understood as a psychological *prajñā* (intuitive) function, and not as a formal identification with the Absolute, as, for instance, T. R. V. Murti insists.[40] This implies the possibility of different degrees in the intensity of the *satori* consciousness, as opposed to Tao-sheng's theory of "total and indivisible enlightenment."[41] In this way, the possibility of perfecting or intensifying the *satori* consciousness alongside the progress in general perfection attained through the ten gradual steps is by no means excluded.[42] *Satori,* therefore, must be taken here as a psychic event providing a more or less intense realization of the perpetual knowledge inherent in the universal *Dharmakāya.* Through it, final and formal return to one's original state is made possible. In this sense—in accordance with Tsung-mi's previous example of the "dreaming noble and wealthy man"—*satori* could be compared to the sudden, but also momentary, "waking up" in the midst of dreams, after which the "dreamer" falls asleep again, but this time carrying into his dreams the awareness that he is just dreaming and that his nightmares are drawing to an end. This would also illustrate the fact that *satori* consciousness can be more or less intense. The following nine steps will further describe the efforts that the "dreamer" applies to keeping up a continuous awareness that what he sees and experiences is a world of delusion and to laying down the conditions that will bring his vagary to a complete halt. Subsequently Tsung-mi proposes the resolutions, practices, and dispositions of the mind that will bring about such a final effect of "total awakening."

2. *Fa-hsin* (Jap.: *hosshin*), "resolve." *Fa-hsin* designates the first effects of enlightenment and comprises all the saintly resolutions (*praṇidhāna*) crowned by the vows of a *Bodhisattva* not to enter *nirvāṇa* until all sentient beings are saved from fear and pain. Sometimes it is called *hotchi*,[43] which means "mental initiation" or "initial resolve"—thus, it includes "leaving home" (*ch'u-chia*; Jap.: *shukke*)[44] and the beginning of monastic life. Tsung-mi sums up the achievement of *fa-hsin* (Jap.: *hosshin*) in the acquisition of three initial

"dispositions of mind"—compassion, wisdom, and resolve—as follows:

> Fearing woe, one gives rise to [*bodhi-*] thought. [That is,] one produces compassion [*karuṇā*], wisdom [*prajñā*], and resolve [*praṇidhāna*], vowing to bear direct witness to great enlightenment [*mahābodhi*] and thus, in due course, to cultivate [that is, to realize] the understanding and the actions of a *bodhisattva*. The treatise says, "The thought that gives rise to compassion is the wish to save [all] sentient beings.[45] The thought that gives rise to wisdom is the wish to understand everything fully.[46] The thought that gives rise to resolve is the wish to cultivate a myriad of [good] acts,[47] and thus to assist [and enrich] compassion and wisdom."

3. *Hsiu-wu-hsing* (Jap.: *shugogyō*), "practicing of the five *Bodhisattva* virtues." *Wu-hsing* (Jap.: *gogyō*) corresponds exactly to the five practices or perfections (*pāramitā*) as ennumerated by the *Śraddhotpāda*.[48] As explained in the scheme,

> by cultivating the five practices, one becomes aware of [one's own] wrong thoughts. The five practices are: (1) Appropriate alms-giving. (2) Being on one's guard against the Ten Evils.[49] And if one has left one's home [for the monastic life],[50] this means that one practices *dhūta* [asceticism]. (3) One endures the vexations of others. (4) One strives with vigor, never slackening. (5) One practices "concentration" [*śamatha*] and "insight" [*vipaśyanā*]. [This means that] one rests tranquil [by] putting a halt to all sense-objects[51] and properly directs one's attention to [the fact that everything is] "mind-only";[52] and observing that there is nothing in the world worthy of attachment or desire, one fully realizes that [any] preceding [moment of] thought gives rise to evil,[53] and thus one is able to halt the subsequent [discriminative] thoughts and prevent their emergence.

The fifth perfection or *chih-kuan* (Jap.: *shikan*, translated above as "concentration and insight")[54] is a twofold term designating (1) the exercise of concentration needed to stop and drop the flux of perception and thought from the field of consciousness (*chih*; Jap.: *shi*,

todomu, or stopping, bringing to a halt; Skt.: *śamatha*); and (2) the outbreak of insight and truth-bearing knowledge of reality "as it is" (*kuan*; Jap.: *kan*, *miru*, or viewing, seeing; Skt.: *vipaśyanā*) from the previously exercised concentration. These two successive states of mind have been described by some masters of *Rinzai Zen* as "climbing up to the top of the hundred-foot pole," from where *nothing is seen*, and then "suddenly jumping down again," *to see things in the right way*.[55] In accounts of the *pāramitās* that give the number as six, the twofold component *chih-kuan* (Jap.: *shikan*) is presented as two separate practices, namely, *dhyāna* (meditation or concentration, corresponding to *śamatha* and *samādhi* as its result) and *prajñā* (intuitive knowledge, corresponding to *vipaśyanā*).[56]

The fact that the elements of *dhyāna* and *prajñā* are proposed together in Tsung-mi's scheme under the concept of *chih-kuan* (Jap.: *shikan*) does not seem to suggest Hui-neng's identification of *samādhi* and *prajñā*. In Tsung-mi's conception both elements are consecutive, and the reason for their being proposed together as a unity is the total subordination of the one to the other.

In the conception of the sixth *Zen* patriarch (Hui-neng),[57] however, there is a real identification between the two elements of *samādhi* and *prajñā* as a means of attaining truth.[58] The difference is epistemic, not ontological. They do not come about in two different stages. Both concepts stress the two aspects of one and the same reality, namely, the aspect of *t'i* (Jap.: *tai*, or body, the substance, the *inner essence* as being reached by putting an end to the mere externality of "wrong thinking") and the aspect of *yung* (Jap.: *yū*, or its application, its function, which is dynamically realized as such by "right insight and intuitive knowledge").[59] In Hui-neng's own words:

> Do not make the mistake of saying that *samādhi* and *prajñā* are two different things . . . ; *samādhi* is the body of *prajñā*, *prajñā* is the function of *samādhi*. . . .
>
> *Samādhi* and *prajñā* are similar to a lamp and its light; if there is a lamp, then you will have light; if there is no lamp, then you will be in darkness; the lamp is the body of a light, the light is the function of a lamp; though two things in name, they are one and the same in reality.[60]

This tenet is harmonious with Hui-neng's entire teaching about the "suddenness" of enlightenment and the independence of *satori* from any causal relationship to any previous states of consciousness that are attained gradually through pure concentration. The real *samādhi* is exercised in the very act of intuition and does not differ from it. Thus, according to Hui-neng, one sudden and indivisible act performs both the negative function of bringing "wrong thought and discrimination" to a stop (*śamatha*) and the positive function of bringing "right knowledge and insight" to a sudden start. Whereas Tsung-mi distinguishes between the initial and sudden outbreak of *prajñā* that takes place in "sudden enlightenment" (*tun-wu*; Jap.: *tongo*) and the subsequent "habits" of *samādhi* and progressive *prajñā* that are exercised in *chih-kuan* (Jap.: *shikan*). This, however, entails—according to Tsung-mi—the two separate abilities to induce in one's mind the experience of "noetic void" through the negative function of merely stopping "wrong thinking" (*śamatha*) and the exercise of the positive function of inducing "insight" (*vipaśyanā*) about the real nature of things. These separate abilities, as they are developed by the progressing disciple, will be reemphasized later in steps seven and eight of the present *parāvṛtti* scale.

4. *K'ai-fa* (Jap.: *kaihotsu*), "development of knowledge and perfection." *K'ai-fa* (Jap.: *kaihotsu*), which literally means "laying open" or "getting something started," can be simply translated as "spiritual development." It mainly involves progress in the insight into the ultimate nature of things by being continuously mindful of the "incomparable dharma" (*wu-pi-fa*; Jap.: *muhihō*)[61] of "real thusness." According to Tsung-mi, this fundamental mindfulness is accomplished and further cultivated by the "three wholesome thoughts" or "three dispositions of mind" (*san-hsin*; Jap.: *sanshin*), namely, *chih-hsin* (Jap.: *jikishin*, or straight thought), *shen-hsin* (Jap.: *jinshin*, or profound thought), and *pei-hsin* (Jap.: *hishin*,[62] or compassionate thought):

> "Development" means that the aforementioned thoughts of compassion, wisdom and resolve[63] are now developed. The treatise says, "When faith is perfected, one produces three thoughts: First is 'straight thought,' which means that one is

rightly mindful of the dharma of real thusness.[64] Second is 'profound thought,' which means that one desires to practice good deeds. Third is 'compassionate thought,' which means that one wishes to save the beings from woe."[65]

The second and third of the *san-hsin* (Jap.: *sanshin*, or profound thought and compassionate thought) seem to imply helping others to become "mindful of the dharma of real thusness" in a way that they also start *k'ai-fa* (Jap.: *kaihotsu*, or development) themselves. In this sense, *k'ai-fa* (Jap.: *kaihotsu*) would also convey the idea of "teaching to open the minds of others."

In the *Zen* tradition, the first of the *san-hsin* (*chih-hsin*, or straight thought) is not to be understood in the sense of intellectual and deductive analysis about the nature of the ultimate *dharma*. Only intuition and *prajñā* convey real understanding about the inner nature of things; and the teaching to open the minds of others does not consist (fundamentally) in systematic or rationalistic treatises, but in the direct transmission of mind. Transmission of mind in *Zen* through the practice of *kōan* and *mondō* is often called *kaikakuzen* (Chin.: *k'ai-chüeh ch'an*) or *kaihotsuzen* (Chin.: *k'ai-fa ch'an*).[66]

5. *Wo-k'ung* (Jap.: *gakū*), "ego emptiness." The *San-lun* (*Mādhyamika*) school proposes this and the following step (*fa-k'ung*; Jap.: *hokkū*, or *dharma* emptiness) together as one realization of the absolute void that simultaneously transcends both subject and object and overcomes the opposition between the unity of consciousness and the plurality of *dharmas* (Skt.: *ātmaśūnyatā dharmaśūnyatā*). Tsung-mi however, proposes the total realization of the "void" in two different or consecutive steps, very probably because of his tendency to explain progress in knowledge according to the dialectical development in the historical "Gradation of Doctrines."[67] Thus *gakū* is realization proper to the *Sarvāstivāda* school (*fa-yu wu-wo*; Jap.: *hō'u muga*,[68] or affirmation of *dharmas*, negation of ego), whereas *hokkū* (the sixth step) designates the progress of the *Yogācāra* school, which, although accepting the reality of ultimate consciousness, denies the existence of the "objective" *dharmas* (*ching-k'ung hsin-yu*; Jap.: *kyōkū-shinnu*).[69] Acceptance of both forms of emptiness (*wo-fa liang-k'ung*; Jap.: *gahō-ryōkū*)[70] is the merit of the *San-lun* (Chin.:

Mādhyamika) school, which synthesizes the *Hīnayāna* thesis and the *Yogācāra* antithesis in an absolute conception of "void."

In the realization of ego emptiness, Tsung-mi includes the grasping of the nondistinction between "oneself" and "other selves"[71] and proposes this realization as a result of breaking up the "attachment to self":

> When there is no grasping at "I," then there is neither self nor other.[72] Within [the framework of the] universal truth of real thusness, one profoundly understands the separation from signs that is being realized before one's very eyes, and thus understands nature and substance. Free of greed and of taint, separated from anger [that is, hatred] and from sloth, ever quiescent and ever active [illuminating], one therefore in due course cultivates the practice of the six perfections (*pāramitās*), those of giving, moral self-discipline, forbearance, vigorous self-exertion, *dhyāna* (concentration) and *prajñā* (insight, wisdom).

This retreat of the mind from "attachment to self" and the realization of the void nature of the discrimination between "self" and "others" affords a further contribution to the practicing of the *pāramitās* (perfections) that in this paragraph are given by Tsung-mi in the original number of six.[73] By realization of "ego emptiness" one comes to know that there are both "uninterrupted stillness" and "continuous activity"[74] at the very bottom of one's real self. Thus, the mind draws closer to the habitual grasping of all-embracing "truth" in which the opposites "quiescence" (*chi*; Jap.: *jaku*) and "movement" (*chao*; Jap.: *shō*)[75] will be reconciled in the all-encompassing and undivided reality of "suchness." The two last *pāramitās* of *dhyāna* and *prajñā*—as has already been explained in step three—are the means of attaining the nonoppositional and simultaneously positive condition of "ego emptiness." The positiveness of the concept of "void" is expressed not merely by negating the existence of a permanent ego (*wu-wo*; Jap.: *muga*; Skt.: *anātman, nirātman*), but by accepting the transcendental nondistinction *tzu-t'a pu-erh* (Jap.: *jita-funi*), the positive oneness of oneself and other selves, and in a manner that approaches the Kegonian conception of "interpenetration" (*tzu-t'a yung-ho*; Jap.: *jita-yūgō*).[76]

6. *Fa-k'ung* (Jap.: *hokkū*), "*dharma* emptiness." This is the expression of "emptiness" as this latter affects the objects of consciousness or the phenomenal world itself. As the former step represents "subjective emptiness," this one could be properly termed as "objective emptiness." A total affirmation of "void" is given by Tsung-mi's use of the formula *wu-yün chieh-k'ung* (Jap.: *goun-kaikū*,[77] or all five *skandhas* are void) or *wan-fa chieh-k'ung* (Jap.: *mambō-kaikū*,[78] or all *dharmas* are void). The *wu-yün chieh-k'ung* (Jap.: *goun-kaikū*) formula is more forceful, since it assumes both the inconsistency of all *dharma* combinations (as in the *Hīnayāna*) and their very nonexistence as being mere projections of the mind itself (as in *Yogācāra*).

According to the scheme, the realization of the void nature of the *dharmas* is described in the following terms:

> The dharmas, having no [dharma]hood, are constantly empty, constantly illusory.[79] [If one understands this,] one understands that there is no difference between form [that is, visible matter or objective world] and emptiness.[80]

7. *Se-tzu-tsai* (Jap.: *shiki-jizai*), "freedom from forms." While *wo-k'ung* (Jap.: *gakū*) and *fa-k'ung* (Jap.: *hokkū*) constitute the noetic aspect of realization of "void," the two following steps, *se-tzu-tsai* (Jap.: *shiki-jizai*) and *hsin-tzu-tsai* (Jap.: *shin-jizai*), represents its volitive aspect. Evidence of "void" brings about detachment and results in "freedom." Since the *dharmas* are "void forms," they do not differ from "void." "Void" and "form" are one. The intuitive experience of this truth posits the condition for "interpenetration" (*yung-t'ung*; Jap.: *yūzū*), thereby breaking up the obstructing role of the discriminated forms (*yung-t'ung wu-ai*; Jap.: *yūzū-muge*).[81] This "free-from-hindrance" interpenetration establishes the conditions for the *Bodhisattva's* freedom.

According to the *Kegon* conception of the Three Natures, the discriminated "forms," as noninterpenetrated, are the proper objects of illusion (*parikalpita*). The ego and the *dharmas*, as noninterpenetrated or as discriminated from each other, constitute the *parikalpitas*. In accordance with this doctrine, the effect of the application of the twofold fifth *pāramitā* (*chih-kuan*; Jap.: *shikan*)[82] would consist in the destruction of this kind of illusion of "noninterpenetration." In

this respect, "freedom from forms" preestablishes the ontological condition for interpenetration. It is on this condition that *dhyāna* and *prajñā* are readied to destroy both the dreaming character of the ego and the illusion of the *dharmas* as independent, self-abiding, and self-excluding entities. According to the scheme,

> at the stage of [free and total] control over matter, one is already and directly aware that the world objects are but representations on the part of one's own mind.[83] Therefore, where matter is concerned, there is free passage back and forth[84] ["interpenetration"] and, thanks to the power and function of concentration (*samādhi*) and wisdom (*prajñā*),[85] the self and the dharmas both vanish.

Because "freedom" is the volitive aspect of one act of cognitive apprehension of "void," it cannot properly be said that the realization of "void" through *samādhi* and *prajñā* causes "freedom," or vice versa. Freedom is a constituent of the realization itself. In Tsung-mi's conception there exists a total correlation between cognitive realization of "form emptiness" and the volitive "freedom from forms." It is on this basis that the hindrances of the subject-object dichotomy are destroyed by *prajñā* in "form freedom," and vice versa.

8. *Hsin-tzu-tsai* (Jap.: *shin-jizai*), "mind freedom" or "control over mind." "Form freedom" (as seen in step seven) signifies emancipation from the illusion of phenomenal "object consciousness" (*so-chien-hsiang*; Jap.: *shokensō*). The *noematic* content of consciousness is always "void" of any separate, independent substantiality, and, when realized as such, no longer presents a hindrance to the interpenetration of forms. Self and forms interpenetrate in the realization of "void," thereby positing the condition of "form freedom." In this step, however, "mind freedom" represents the volitive aspect of the realization of "mind void" (*hsin-k'ung*; Jap.: *shinkū*),[86] and it comprehends the ability to blank out all the noetic functions of mind (*neng-chien-hsiang*; Jap.: *nōkensō*) that are constitutive of any plurality of objects. This implies the ability to enter into the state of "undifferentiated consciousness" at will; what in the terminology of Patañjali's *Yoga-sūtra*, is called "seedless concentration" (*nirbīja-samādhi*).[87] In Tsung-mi's words,

> at the stage of [free and total] control over mind, one ceases [at will] to see an external world object of fixed realities. Therefore one becomes one's own master with respect to all things, and [in this sense] there is nothing that [one's intelligence] fails to illuminate.[88]

Nevertheless, this state of psychical or *noetic* "void" does not necessarily indicate an improvement over the foregoing step of *noematic* "void" ("form void" and "form freedom"). It refers only to a subordinate capability, without implying an advance in the total apprehension of "truth." In *Rinzai Zen*, very much in keeping with the tradition of Hui-neng's school, the total apprehension of "void" goes beyond pure attainment of psychical "void" (undifferentiated *samādhi*); it consists in a simultaneous, all-involving, indivisible comprehension of all aspects of "void" and "interpenetration." The mere attainment of noetic or mental (undifferentiated, "blank" consciousness) void in the practice of *dhyāna* concentration, if adhered to and abided in, may become a danger and even a setback towards the sudden realization of the all-embracing *satori* consciousness.[89]

The proper value of *hsin-tzu-tsai* (Jap.: *shin-jizai*) lies in the implied disposal that the will acquires in regard to "subjective consciousness," rather than in the quality of the undifferentiated state reached by "switching off" the particular functions of that consciousness. The result of this "switching off" can be termed an "ecstasis," or better yet "enstasis"; but in either case it must not be mistaken for the intuitive apprehension of truth termed *satori.* It should not be forgotten that the previous experience of *satori* underlies all the steps of "reversion" on the way to "Buddhahood." These steps must be accepted as the real sequence of *satori*, which exercises the various functions, noetic as well as volitive, of *prajñā.* This ability, expressed by *hsin-tzu-tsai* (Jap.: *shin-jizai*), to enter into the state of *samādhi* at will, includes one of those aspects.

9. *Li-nien* (Jap.: *rinen*), "leaving false thinking." This step includes the counter-effect to the first step of the "three subtleties" process (*san-hsi*; Jap.: *sansai*), namely *nien-ch'i* (Jap.: *nengi*), the "rise of discrimination," the emergence of the "consciousness phenomenon" previous to the formal split between subjectivity and objectivity.

By "abandoning discrimination" (*li-nien*), the "dreamer" awakens to *wu-nien* (Jap.: *munen*),[90] to the original "nondiscriminatory mind," which is the state of absolute knowledge (*pen-chüeh*; Jap.: *hongaku*). *Li-nien* (Jap.: *rinen*) brings the *Bodhisattva* into a habitual state of transcendental knowledge, which, in the event of "sudden enlightenment" (*tun-wu*; Jap.: *tongo*), is given only momentarily. Although *wu-nien* (Jap.: *munen*, or no false thought) is included in sudden enlightenment, *li-nien* (Jap.: *rinen*, or leaving false thinking) alludes to an acquired continuity of *satori* consciousness. It represents the completion of the *prajñā* habit, which has been developed in the foregoing steps. Here the difference between "sudden enlightenment"—which is given *per modum actus*—and the acquired state of total enlightenment—which is exercised *per modum habitus*—can be distinguished. At this point of development, the *Bodhisattva* is already a fully enlightened Buddha and is able to attain all forms of concentration. Consequently he attains to the perfection of skill (*fang-pien*; Jap.: *hōben*)[91] in his use of the most perfect devices in order to save all creatures. After *fang-pien* (Jap.: *hōben*) has been accomplished, he is expected to attain complete Buddhahood (*ch'eng-fo*; Jap.: *jōbutsu*), which constitutes also the tenth and final step of "reversion." Quoting the words of Tsung-mi,

> after having completed all *fang-pien* (Jap.: *hōben*, or all preliminary means and expedients), one applies oneself to a unique intention, namely, the understanding of the origination of [relative] consciousness;[92] and by realizing that the primordial consciousness phenomenon of mind is naught,[93] one liberates oneself from the intricate warp of discrimination.[94] Because the [original] mind is ceaseless, the grasping of the origination of delusive existence is called "exhaustive knowledge."[95] From the very outset of the *fa-hsin* (Jap.: *hosshin*) resolutions (see step two) one begins the practice of nondiscrimination, but it is only after reaching this stage that one achieves its total completion.

10. *Ch'eng-fo* (Jap.: *jōbutsu*), "attainment of Buddhahood." This step represents the last step in the return to "original knowledge" and carries out the "definitive awakening" to true reality. The thorough and faithful application of the *Kegon* doctrine of "interpenetration"

in the description of this stage is highly significant. The old notion that *nirvāṇa* necessarily suggests sheer undifferentiation and the actual annihilation of all multiplicity and difference for the sake of pure identity is radically overhauled. This *nirvāṇa* of extinction is exchanged for the abode of all Buddhas and *Bodhisattvas*, which is called the *dharmadhātu*; and it is symbolized by the Vairocana tower of the heavenly city of Jetavana as described in the *Gaṇḍavyūha*.[96] *Nirvāṇa* is not the result of a total obliteration of things; rather, it is the very sublimation of consciousness and its objects to the dimension of the *shih-shih wu-ai fa-chieh* (Jap.: *jiji-muge-hokkai*), wherein all *paratantra* existences enjoy absolute "interpenetration." Thus the ultimate goal of the ten steps as propounded by Tsung-mi will be the "permeation" by ultimate knowledge of the very reality of the *ju-lai-tsang* (Jap.: *nyoraizō*, or the *Tathāgata-garbha* of the *Awakening of the Faith* scripture). This "permeation of knowledge," which carries with itself the very "interpenetration" of all the individual consciousnesses, brings to perfect completion the hightest potentiality of the *ālaya-vijñāna* as the cognitive aspect of the *Tathāgata-garbha* itself. Thus, *ālayavijñāna*, which was the primordial seat of ignorance, comes back to identity with itself as the universal store of all-comprehensive knowledge. Tsung-mi explains this in the following terms:

> Once one has borne [direct and intuitive] witness [to the truths mentioned above], [one will observe that] in fact there is no difference between "original knowledge" [that is, timeless Buddhahood] and the state of enlightenment that has a beginning, for they are at bottom identical,[97] being both equally enlightened intuition. When one has merged with the fundamental, real, pure source of thought[98] [that is, consciousness] and applied it to the grime[99] [of the world], then one shall, throughout all future time, constantly dwell in the dharma sphere[100] [of "interpenetration"], and with [the spirit of] thankfulness, run [freely] through it. [The one who does this] is called the Venerable and Greatly Enlightened One.[101]

Here ends Tsung-mi's epitome of Buddhism. It must be noted that, in the "Ten Steps towards Buddhahood," an oscillation between cognitive and volitive aspects adds a new character to the dialectical

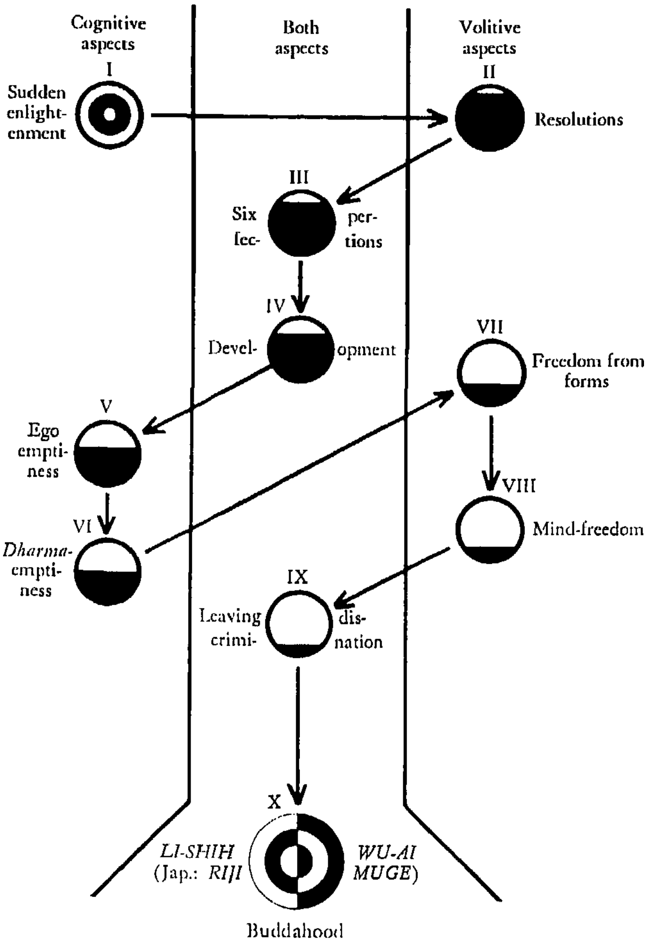
structure of the scheme. This oscillation reveals the endeavor directed towards a perfect identity of the cognitive and volitive operations of the mind that will be perfectly realized in the state of "interpenetration."

The first step marked by the noetic eruption of *tun-wu* (Jap.: *tongo*, or sudden enlightenment) is followed by the volitive activities implied by the *fa-hsin* (Jap.: *hosshin*, or second step, which is resolutions). At this point the will sways to the third step by setting into practice the "six *pāramitās*; thus the four initial *pāramitās* (perfections) are exercised. These four *pāramitās* are capped by the fifth—"concentration" (*chih*; Jap.: *shi*), which combines the cognitive aspect with the volitive; and finally by the sixth—"habitual insight" (*kuan*; Jap.: *kan*), which marks a new shift towards the cognitive side. The fourth step (spiritual development) contains again both cognitive and volitive aspects. The two next (the fifth and sixth) steps bear the immediate results of "insight": the "*dharma* emptiness" and the "*mind* emptiness" are realized as further progress on the cognitive side. The two steps following "mind emptiness" mark a swift transition towards the volitive side with the practice of the two freedoms "form freedom" and "mind freedom." Almost at the very end of the journey, the ninth step (*li-nien*; Jap.: *rinen*, or leaving wrong thinking) takes the Buddhahood candidate to the middle of the road, conveying the volitive nature of the character *li* (severance) and the cognitive aspect implied by the character *nien* (discriminative thought).

So far the fluctuation between the cognitive and volitive aspects contains four "stops" in the "middle of the road": (1) the first stop takes place in stage three (the practice of the six *pāramitās* [*hsiu-hsing*; Jap.: *shugyō*]), which in fact suggests a gradual transition from the initial four *pāramitās* as purely volitive, to "insight" (the sixth) as purely cognitive, passing through the fifth *pāramitā* (concentration) which can be said to exhibit both characters simultaneously: it is therefore only under this aspect that the third stage (*hsiu-hsing*; Jap.: *shugyō*) belongs to the "middle." (2) The second stop, which immediately follows the first, is realized in the "development" of both cognitive and volitive virtues (the fourth stage). (3) The third stop takes place in the ninth stage (*li-nien*; Jap.: *rinen*), which features a state of mind similar to the formerly mentioned "concentration," although

it now implies no strenuous effort on the part of the will. (4) The fourth and definitive stop is signaled by the last, the tenth, stage; only this stop can be considered as a perfect superseding of the cognitive-volitive duality. In the state of all-comprehensiveness (*wu-ai*; Jap.: *muge*), the cognitive and volitive factors of consciousness are reabsorbed into a new identity—wherein by knowing, one wills; and by willing, one knows. The following chart offers a synoptical summary of the cognitive-volitive fluctuation within the "Ten Steps of Reversion." The symmetry of this oscillation, which is apparently unintentional, speaks for itself:

TEN STEPS OF REVERSION. DIALECTICAL OSCILLATION BETWEEN COGNITIVE AND VOLITIVE MOMENTS.



4
The Wu-Chiao (Five Doctrines) Scheme

So much for Tsung-mi's dialectical approach to Kegonian mysticism. The master's dialectics, however, do not stop here. He was not only concerned about the psychological and mystical aspects of objective idealism; he also had insight into the dialectics of Buddhist history itself. This significant point must not be overlooked.

The *wu-chiao* (Jap.: *gokyō*, or five doctrines) scheme, originated by the third patriarch and real founder of *Kegon*, Fa-Tsang, and formulated anew in Tsung-mi's work *Yüan-jen-lun* (Jap.: *Genninron*, or On man's original nature) is a compendium of the historically dialectical role played by the main streams of Buddhism. The *wu-chiao* (Jap.: *gokyō*) theory, which is similar to the *a-li-yeh shih* (Jap.: *ariya-shiki*) scheme, is shown also as developing in five stages. This is the fivefold framework that will also become the pattern for the *Ts'ao-tung wu-wei* (Jap.: *Sōtō no Goi*, or the Five ranks of *Sōtō Zen*). It seems as though the number five measures the pulsation of Chinese and Buddhist thought. The remarkable predilection for this number will be the topic of future discussions in the last part of this study.

According to the *wu-chiao* (Jap.: *gokyō*) theory, as developed by Tsung-mi in his *Yüan-jen-lun* (Jap.: *Genninron*), the history of Buddhist thought has developed through the well-known dialectical transition from "negation" to the "negation of negation." Each of the stages overlaps with the foregoing one. The fifth transcends all others in a perfect global formulation of the Buddhist teachings. It is in this last stage (the Kegonian), that the concept of the *ālaya* is supposed to attain its full-fledged signification. Besides his listing of the *Hīnayāna* and *Fa-hsiang* schools, Tsung-mi's mention of the *Mādhyamika* (Chin.: *San-lun*; Jap.: *Sanron*), under the name of *P'o-hsiang-tsung* (Jap.: *Hasō-shū*, or school of "destruction of all characters," or negativistic school) is particularly significant. He admits that the *P'o-hsiang* (Jap.: *Hasō*) doctrine of "void" represented a major dialectical advance upon the *Fa-hsiang* (Jap.: *Hossō*) subjectivistic approach, and this in spite of the fact that the Indian *Mādhyamika* was already in existence long before the Vijñānavāda school of Vasubandhu and

Asaṅga was founded. In its Chinese development (the *P'o-hsiang-tsung*; Jap.: *Hasō-shū*), the "middle way" doctrine is considered to represent a more perfect formulation of Buddhism than the subjectivistic one.

Nevertheless, Tsung-mi still thought that the "emptiness" concept as propounded by the *P'o-hsiang* (Jap.: *Hasō*) school, was too negativistic and obscure a doctrine, accessible to only a limited number of esoteric circles. The pure indeterminability and ineffability of the concept of "void" (*śūnyatā*) as applying to both "subject" and "object," "*vijñāna*" and "*dharmas*," was too far off an expression of suchness to exert any appeal on the uninitiated. On this account the doctrine was not considered to be very "catholic" in the Mahayanistic sense. In his *Yüan-jen-lun* (Jap.: *Genninron*),[102] Tsung-mi refers to *Kegon* as the "open doctrine" of the "All-in-all Buddha-Nature," as ultimately overcoming the "pure void" stand of the *P'o-hsiang* (Jap.: *Hasō*) school, which in the master's appraisal is "hidden" or "secret" (esoteric).[103] The "open" and true character of reality is embodied in the *a-li-yeh shih* (Jap.: *ariya-shiki*; Skt.: *ālayavijñāna*) as the full manifestation of the *Tathāgata-garbha* and the *dharmadhātu* of "interpenetration" described by the *Kegon Sūtras* and by the writings of Fa-tsang.

Śūnyatā (emptiness) is thereby given a highly positive sense, inasmuch as it is considered the all-permeating light, which bestows "metaphysical transparency" to all beings. The listing of the fivefold gradation of doctrines can be summarized as follows:

First Stage: *Jen-t'ien chiao* (Jap.: *nindengyō*, "doctrine of man and gods"). This is the doctrine of mere remuneration according to *karma* merits and demerits. It is a popular form of Buddhist faith, which advocates the accumulation of merits to avoid incarnation in hells and to insure rebirth in the higher heavens.

Dialectical stand: It affirms both soul consciousness and the external world as opposing one another.

Second Stage: *Hsiao-sheng chiao* (Jap.: *shōjōkyō*, "Hīnayāna doctrine"). These are theories of *Sarvāstivāda* scholasticism; they are doctrines about the plurality of seventy-five *dharmas* and the *nirvāṇa* of total extinction.

Dialectical stand: It negates substantiality of unity in the soul consciousness (*anātman* theory) and affirms the multiplicity of "factors of conscious existence" (*dharmas*).

Ālayavijñāna: as carrier of the *karma*-seeds of heredity; individual and ignorant.

Third Stage: *Ta-ch'eng fa-hsiang chiao* (Jap.: *daijō-hossō-gyō*, "doctrine of the *dharma* characters" [*dharma-lakṣaṇa*]), subjective idealism. These are theories of the *Vijñānavāda* and the two *Hossō* schools. Everything is related to consciousness according to the formula *hsin-yu fa-k'ung* (Jap.: *shinnu-hokkū*).[104]

Dialectical stand: This affirms unity of ultimate or transcendental consciousness; it negates independent existence of the plurality of worldly things.

Ālayavijñāna: as reservoir of *bīja* (seeds). It is not decisive about its character: sometimes individual and ignorant (old *Fa-hsiang*), sometimes universal and truthful (new *Fa-hsiang*).

Fourth Stage: *Ta-ch'eng p'o-hsiang chiao* (Jap.: *daijō-hasō-gyō*, "doctrine of the destruction of all characters [marks]"). This is the negativistic theory of "void" proper of the Middle Way schools (*Mādhyamika*). Everything, including consciousness and the world, is void, according to the formula *wo-k'ung fa-k'ung* (Jap.: *gakū-hokkū*).[105]

Dialectical stand: It negates both the unity of consciousness and the plurality of the world.

Ālayavijñāna: would correspond to the *prajñā* (knowledge) aspect of *śunyatā* (emptiness) as suchness.

Fifth Stage: *I-ch'eng hsien-hsing chiao* (Jap.: *ichijō-kenshō-gyō*, "doctrine of the unique vehicle of the manifest Buddha Nature"), objective idealism. This is the *Kegon* doctrine, the positive interpretation of "emptiness" as the "metaphysical dimension" of nonimpededness (*wu-ai*; Jap.: *muge*), according to the formula *hsing-hsiang yung-hui* (Jap.: *shōsō-yūe*).[106]

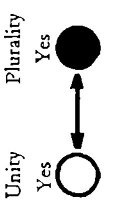
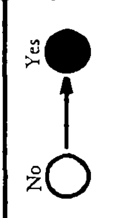
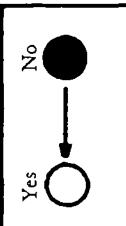
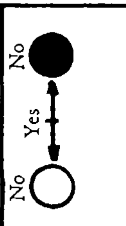
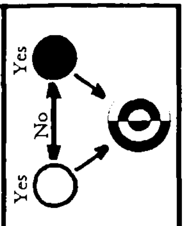
Dialectical stand: It affirms both unity of consciousness and the plurality of world, but as *nonoppositional.*

Ālayavijñāna: equated to "true thusness," includes both

knowledge and nonknowledge in the process towards universal awareness of all-comprehensive interpenetration (*yung-hui*; Jap.: *yūe*; or *yung-t'ung*; Jap.: *yūzū*).

All stages up to the fourth manifest partial aspects of truth, each one more perfect than the preceding. Only the fifth includes all aspects taught throughout the whole historical range of Buddhism in a perfect and all-encompassing totality. Although these stages do not correspond to the Five Degrees of the *Sōtō Zen* school, they contain nevertheless all of the elements that intervene in the mystical dialectic of *Sōtō*.

CHART OF THE DIALECTICAL DEVELOPMENT OF BUDDHIST HISTORY OF PHILOSOPHY ACCORDING TO FA-TSANG AND TSUNG-MI (KEGON SCHOOL) or "FIVE DOCTRINES" THEORY [五 数 説]

TITLE	DOCTRINE	DIALECTICAL STAND	CHINESE FORMULATION	SYMBOLS
1.— *POPULAR* (also *Pudgala-vāda*)	*Karma*-remuneration in Heaven and Hell	Affirms both: *Unity* and *Plurality* as oppositional	我 有 法 有 The Ego *is.* The *Dharmas are.*	
2.— *HĪNAYĀNA* (*Sarvāstivāda* School)	Non-existence of Ego (*anātman*) Existence of all the *Dharmas.*	Negates: *Unity* Affirms: *Plurality*	無 我 法 有 The Ego *is not.* The *Dharmas are.*	
3.— *IDEALISTIC MAHĀYĀNA* (*Vijñānavāda*)	Mere Ideation (*vijñaptimātratā*) "Only consciousness" exists.	Affirms: *Unity* Negates: *Plurality*	心 有 法 空 Consciousness *is.* The *Dharmas are* void.	
4.— *"MIDDLE WAY" MAHĀYĀNA* (*Mādhyamika*)	Negativism. Relativism. Relative and absolute "Emptiness."	Negates both: *Unity* and *Plurality*	心 空 法 空 Consciousness *is* void. The *Dharmas are* void.	
5.— *KEGON MAHĀYĀNA* (also *Tendai* and *Zen*)	Totalism. Mutual Inclusiveness. Metaphysical Interpenetration.	Affirms both: *Unity* and *Plurality* as nonoppositional	性 相 融 会 The essence of all Nature: "Meeting and melting."	

Notes

1. See note 17 of part 1.

2. 禪源諸詮集都序 (or *Ch'an-yüan chu-ch'üan-chi tu-hsü;* Jap.: *Zengen-shozenshū tojo*), *Taishō daizōkyō,* vol. 48, no. 2015. Japanese translation (bilingual edition) by Ui Hakuju in *Iwanami bunko,* 1888–1890 (Tokyo, 1943).

3. 眞如門 (or *chen-ju men;* Jap.: *shinnyo-mon*), or world of true suchness.

4. 生滅門 (or *sheng-mieh men;* Jap.: *shōmetsu-mon*), or world of rise and fall.

5. 迷有十重, or *mi yu shih-ch'ung.* See *Taishō daizōkyō,* vol. 48, no. 410.

6. 如富貴人端正多智, or *Ju fu-kuei-jen tuan cheng to chih.* As I have said, the "wealthy and noble man" symbolizes "one's real nature" *(parinispanna).* The "limiting oneself" of the "wealthy man to living in a small house" is like the "hemp becoming a rope" *(paratantra).* See above, pp. 27–28.

7. 本來 (or *pen-lai;* Jap.: *honrai*) and 法爾 (or *fa-erh;* Jap.: *hōni*).

8. 睡 (Jap.: *sui*; Skt.: *śayita,* or lying down, being asleep), one of the "ten bonds."

9. 論云 *(lun yün),* "as the treatise says"; for Tsung-mi, the *"Śraddhotpāda"* (Chin.: *Ch'i-hsin lun;* Jap.: *Kishinron*) is the "treatise" *par excellence.*

10. 名爲業 (or *ming wei yeh*; Jap.: *nazukete gō to nasu*). *Yeh* stands for *yeh-hsiang* (業相) or "*karma* appearance," "primordial phenomenon," the first stage of the "three subtleties" process.

11. 三細相 (or *san-hsi-hsiang;* Jap.: *sansaisō*), the "three subtleties."

12. 能見相, or *neng-chien-hsiang.* See above, pp. 60–62.

13. 能見起 (or *neng-chien-ch'i*; Jap.: *nōkengi*).

14. 如夢中之想也, or *ju meng-chung chih hsiang yeh.* The character 想 (Skt.: *saṃjñā,* or notions), is often used as the designation for one of the "five *skandhas.*" Here it stands instead for the notions one develops about the limited self or "subject of dreaming" as a result of "unawareness" in respect to its true unlimited nature of "thusness."

15. 境, or *ching.*

16. 六根, or *liu-ken.* See above, note 72 of part 1.

17. 意識, or *i-shih.*

18. 根身世界忘現, or *ken-shen shih-chieh wang hsien. Ken-shen* stands for 六根身 (or *liu-ken-shen*; Jap.: *rokkon no mi*), the aggregate of the six sensory faculties.

19. 他鄉, or *t'a-hsiang.*

20. 法爾必執夢中所見之物, or *fa-ehr pi chih meng chung so-chien chih wu.* 所見 (or *so-chien;* Jap.: *shoken*), or the intentional objects, the *noemata*—in Husserlian usage—which make up the "consciousness of ob-

jects" or "consciousness of the surrounding world," as opposed to the "consciousness of oneself" as subject.

21. 執持識 (or *chih-ch'ih shih;* Jap.: *shūji-shiki*), *chih-ch'ih* meaning "to hold in the hand," "having a grip on." For more information on *kliṣṭamanas,* see above, pp. 11–12.

22. 執法定故, or *chih fa ting ku.* Ui Hakuju translated it into Japanese: *hō no sadamareru o shissuru ga yue ni. Sadamareru* (being fixed, determined, definite) may entail the idea of "definitiveness" rather than "determination," as alluding to the character of the "fixed, definitive substances" that the *dharmas* appear to be endowed with.

23. 計自爲我 (or *chi tzu wei wo*; Jap.: *Ji o keishite ga to nasu*).

24. 如夢時必認他鄉貧苦文身 (or *ju-meng shih pi-jen t'a-hsiang p'in-k'u chih shen*; Jap.: *yume miru toki ni kanarazu takyō no hinku no mi o mitomete*).

25. 三毒 (or *san-tu*; Jap.: *sandoku*). The "three poisons" are: 貪 (or *t'an*; Skt.: *rāga,* or desire, lust for unwholesome things), 瞋 (or *ch'en*; Skt.: *dveṣa,* or anger, hatred of the wholesome), 痴 (or *ch'ih;* Skt.: *moha,* or ignorance, stupidity, or lack of sense to distinguish between the wholesome and unwholesome).

26. 四大, or *szu-ta.* The "four great elements" (*mahā-bhūta*) is a general expression to designate the basic components of physical bodies: 地 (or *ti*; Skt.: *pṛthivī,* or earth), 水 (or *shui*; Skt.: *ap,* or water), 火 (or *huo*; Skt.: *tejas,* or fire), and 風 (or *feng*; Skt.: *vāyu,* or air). No doubt Tsung-mi refers in his text to the four inner elements of the human body, which correspond in constitution to the above-mentioned physical components, namely: 皮肉 (or *p'i ju*; Jap.: *hiniku,* or skin and flesh), 精血 (or *ching-hsüeh*; Jap.: *seiketsu,* or blood fluid), 暖氣 (or *nuan-ch'i*; Jap.: *danki,* or corporal warmth), and 動轉 (or *tung-chuan*; Jap.: *dōten,* or movement).

27. 貪愛順情境, or *t'an ai shun ch'ing-ching.*

28. 瞋違情境, or *ch'en wei ch'ing-ching.*

29. 愚痴計校 (or *yü ch'ih chi-chiao*); 計校 (or *chi-chiao*; Jap.: *keikō*), and also 計較, meaning the calculations of the mind about the "good" and "evil" sides of things, which the mind becomes entangled with.

30. See above, note 25 of part 2.

31. 造善惡等業, or *tsao-shan-o teng yeh.*

32. 偷奪打罵, or *t'ou to ta-ma.*

33. 行思布德, or *hsing szu pu-te.*

34. 輪廻 (or *lun-hui*; Jap.: *rinne*), and also 生死 (or *sheng-ssu*; Jap.: *shōji*).

35. See note 32 of part 2.

36. 六道, or *liu-tao.*

37. See above, note 100 of part 1.

38. See above, note 62 of part 1.

39. 悟有十重 (or *wu yu shih-chung*; Jap.: *go* [or *satori*] *ni jūjū ari*). See *Taishō daizōkyō*, vol. 48, no. 410ab.

40. "Intuition is the Absolute . . . *Prajñā* is knowledge of the entire reality once for all, and does not depend on contingent factors." T. R. V. Murti, *The Central Philosophy of Buddhism* (London, 1955), p. 220.

41. As Tao-sheng (360–434) teaches: "Those who believe in instantaneous illumination declare that *li* is indivisible and that *wu (mu)* expresses that experience in which *li* appears in one final vision. As *li* is indivisible, there cannot be two acts in which it appears . . . . So when experienced, this must be the final experience . . . there is no possibility of more or less deep penetration." Walter Liebenthal, "The World Conception of Chu Tao-sheng" (Translations), *Monumenta Nipponica* (Tokyo, 1956), vol. 12, nos. 3 and 4, p. 257.

42. With regard to gradations in the intensity of *satori*, see H. Dumoulin, *A History of Zen Buddhism*, p. 255. D. T. Suzuki, *Essays in Zen Buddhism*, 1:246–247.

43. 發心, *hosshin*. Sometimes 發菩提心 (Jap.: *hotsubodaijin*), and in this case, means resolutions in order to attain enlightenment. In our text, 發心 (or *fa-hsin*; Jap.: *hosshin*) presupposes that enlightenment has already been attained.

44. 出家 (or *ch'u-chia*; Jap.: *shukke*, or leaving the home) is synonymous with "entering a monastery."

45. 欲度衆生, or *yü tu chung-sheng*. 度 stands for the more frequently used compound 濟度 (or *chi-tu*), which means to save, "to carry across the seas of sorrow." This corresponds to the first *bhūmi (pramuditā)*. See note 67 of part 1.

46. 欲了達一切, or *yü liao ta i-ch'ieh*.

47. 欲修万行, or *yü hsiu wan-hsing*.

48. The five *pāramitās* are as follows: (1) 布施 (or *pu-shih*; Jap.: *fuse*; Skt.: *dāna*, or almsgiving); (2) 持戒 (or *ch'ih-chieh*; Jap.: *jikai*; Skt.: *śīla*, or observance of the commandments); (3) 忍辱 (or *jen-ju*; Jap.: *ninniku*; Skt.: *kṣānti*, or patience in suffering and persecution); (4) 精進 (or *ching-chin*; Jap.: *shōjin*; Skt.: *vīrya*, or endurance in the efforts to master all perfections); and (5) 止觀 (or *chih-kuan*; Jap.: *shikan*; Skt.: *śamathavipaśyanā*, or concentration and insight).

49. 十悪 (or *shih-o*; Jap.: *jūaku*) and also 十不善 (or *shih-pu-shan*; Jap.: *jūfuzen*). The "ten evils" are enumerated as follows: (1) *prāṇātipāta*, or the taking of animate life (the killing of living beings); (2) *adattādāna*, or the taking of anything not freely surrendered by the possessor (stealing and robbery); (3) *kāmamithyācāra*, or sexual misconduct; (4) *mṛṣāvāda*, or lying; (5) *pāruṣya*, or harsh speech; (6) *paiśunya*, or slander ("double-tongued" speech, i.e., saying one thing to one person, another to another); (7) *saṃbhinnapralāpa*, or idle chatter (embellished speech); (8) *abhidhyā*, or covetousness; (9) *vyāpāda*, or

malice (anger); and (10) *mithyādṛṣṭi*, or wrong views. The third evil (*kāma-mithyācāra*) is usually given as "adultery." This term, even in Chinese, extends to much more than adultery, but what it means will differ from one society to the next, depending upon the local code of conduct. Two things are common to all, however: no man may consort with another man's wife, and a married man must be faithful to his own spouse.

50. See above, note 44 of part 2.

51. 五止觀住靜止一切境, or *wu chih-kuan, chia ching chih i-ch'ieh ching*; 境 (or *ching;* Jap.: *kyō*), world- or sense-objects, as *parikalpita.*

52. 正念唯心 (or *cheng nien wei-hsin*; Jap.: *tadashiku yuishin o nenzu*; Skt.: *cittamātratāṃ samyak smarati*). *Wei-hsin* (Skt.: *cittamātra,* or mind-only), or the transcendental mind that in the *Hua-yen* doctrine coincides with *Tathāgata-garbha.*

53. 覺知前念起惡, or *chüeh-chih ch'ien-nien ch'i o.*

54. 止觀 (or *chih-kuan*; Jap.: *shikan*). See note 48 of part 2.

55. See above, pp. 63–66 and notes 102 and 103 of part 1.

56. In the explanation of the fifth *parāvṛtti* step, Tsung-mi brings in the *pāramitās* in the number of six, thus separating the practice of *Zen (dhyāna)* from attainment of *prajñā*—禪, or *ch'an (dhyāna),* meaning "continuously still" (常寂); and 慧, or *hui (prajñā),* meaning "continuously shining forth" (常照). These two opposite characters 寂 (or *chi*; Jap.: *jaku*), or "stillness," and 照 (or *chao*; Jap.: *shō*), or "universal, creative light," as the symbol of dynamic development, allude clearly to the nonoppositional, transcendental character of *ariya-shiki* or, in the *Kegon* conception, *nyoraizō* (Skt.: *Tathāgata-garbha*), which is at the same time "stillness' *(jaku)* and "movement" *(shō),* "void" and "fullness," "darkness" and "light." Since *samādhi* and concentration *(Zen, dhyāna)* are respectively conducive to "stillness" and "void," and *prajñā (satori)* is essentially the dynamic apprehension of truth, in the total realization of Truth, they must become one and the same; in Hui-neng's idea, *jaku* and *shō, samādhi* and *prajñā,* are ultimately an identity, and only realization of the two as one proves the genuineness of both.

57. The sixth patriarch of *Zen* (慧能, or Hui-neng, 638–712), founder of the "Southern" or "Sudden" school (propounding "suddenness" of enlightenment).

58. Hui-neng uses the compound 定慧 (or *ting-hui*; Jap.: *jō'e*) to express the double concept of *samādhi-prajñā. Samādhi,* like *śamatha,* is supposed to be the primary effect of *dhyāna* (禪, or *ch'an;* Jap.: *zen;* 禪定, or *ch'an-ting*; Jap.: *zenjō*; 禪那, or *ch'an-na*; Jap.: *zenna*).

59. 體 (or *t'i*; Jap.: *tai*) and 用 (or *yung*; Jap.: *yū*).

60. From Hui-neng's *Platform Sūtra (Rokusodaishi hōbōdangyō),* chap. 4 *(Jōe daishi)*. Translated from the Japanese version in the *Zenshū seiten* (Tokyo, 1962), p. 179. See original Chinese in *Taishō daizōkō,* vol. 48, no. 352c.

61. 無比法 (or *wu-pi-fa*; Jap.: *muhihō,* or the unparalleled *dharma*).

62. 三 心 (or *san-hsin*; Jap.: *sanshin*): (1) 直 心 (or *chih-hsin*; Jap.: *jikishin*), (2) 深 心 (or *shen-hsin*; Jap.: *jinshin*); and (3) 悲 心 (or *pei-hsin*; Jap.: *hishin*).

63. 即前悲智願心今開發也, or *chi ch'ien pei-chih-yüan-hsin chin k'ai-fa yeh*. See above about 發心 (or *fa-hsin*; Jap.: *hosshin*). In *fa-hsin* takes place the evoking of saintly resolutions. By *k'ai-fa* (Jap.: *kaihotsu*) is meant the further development of those resolutions, which involves mainly the two basic elements of "fostering knowledge" and "opening the minds of others."

64. 正念眞如法, or *cheng nien chen-ju-fa*. Properly, the *dharma* of "real thusness."

65. 欲拔衆生苦故, or *yü pa chung-sheng k'u ku*.

66. 開覺禪 (or *k'ai-chüeh-ch'an*) or 開發禪 (or *k'ai-fa-ch'an*). See Mochizuki Shinkō, *Bukkyō daijiten,* article on *kushudaizen*, 673 c.

67. To be dealt with at the end of this chapter.

68. 法有無我, or *fa-yu wu-wo*.

69. 境空心有, or *ching-k'ung hsin-yu*.

70. 我法兩空, or *wo-fa liang-k'ung*.

71. 自他不二, or *tzu-t'a pu-erh*; the "nonduality" between 自 (self) and 他 (others, or nonself). And also 自他融合 (or *tzu-t'a yung-ho*; Jap.: *jita-yūgō*; Skt.: *parātmasamatā*), or interpenetration of selves. See Nakamura Hajime, *Shin bukkyōjiten* (Tokyo, 1962), p. 231.

72. 離我執故，無自無他, or *li wo chih ku, wu-tzu wu-t'a*.

73. 施戒忍進禪慧六度, or *shih-chieh-jen-chin-ch'an-hui liu-tu*. See note 104 of part 2.

74. 常寂，常照 (or *ch'ang-chi, ch'ang-chao*; Jap.: *jōjaku, jōshō*). See note 55 of part 2.

75. 寂 (or *chi*; Jap.: *jaku,* or stillness); 照 (or *chao*; Jap.: *shō,* or creative irradiation).

76. See note 71 of part 2.

77. 五蘊皆空 (or *wu-yün chieh k'ung*; Skt.: *pañcaskandhāḥ sarve śunyāḥ*). They are the material and psychical components of the human being as such: (1) 色蘊 (or *se-yün*; Jap.: *shikiun*; Skt.: *rūpa-skandha*), or physical elements; (2) 受蘊 (or *shou-yün*; Jap.: *ju'un*; Skt.: *vedanā-sk*), or sensation; (3) 想蘊 (or *hsiang-yün*; Jap.: *sōun;* Skt.: *saṃjñā-sk*), or notion, representation; (4) 行蘊 (or *hsing-yün*; Jap.: *gyōun*; Skt.: *saṃskāra-sk*), or subconscious powers and volitional processes; and (5) 識蘊 (or *shih-yün*; Jap.: *shikiun*; Skt.: *vijñāna-sk*), or pure consciousness.

78. 万法皆空, or *wan-fa chieh k'ung*.

79. 常空常幻, or *ch'ang-k'ung ch'ang-huan*.

80. 悟色空不異, or *wu se-k'ung pu-i*. Correspondingly, the formula used by Hsüan-tsang (Jap.: Genjō) in his translation of the *Prajñā-pāramitā-hṛdaya:* 色即是空，空即是色 (or *se chi shih k'ung, k'ung chi shih*

se; Skt.: *rūpam eva śūnyatā śūnyataiva rūpam*). Compare the total identification between "form" (appearance) and "nonform" (nonappearance) in Hakuin's "Hymn of Meditation": "taking as form the form of nonform" (無相の相を相として). See *Zenshū seiten*, p. 1138.

81. 融通無礙, or *yung-t'ung wu-ai.* See notes 81 and 84 of part 1.

82. See notes 48 and 58 of part 2.

83. 境是自心所現, or *ching shih tzu-hsin so-hsien* (Jap.: *kyō wa kore jishin no shogen naru o shō-seru*). 所 stands for 所見相 (or *so-chien-hsiang*; Jap.: *shokensō*).

84. 於色自在融通, or *yü se tzu-tsai yung-t'ung.*

85. 定慧力用, or *ting-hui li-yung.*

86. 心空, or *hsin-k'ung.*

87. *Nirbījasamādhi* (seedless concentration), also called *asaṃprajñātasamādhi* (concentration not conscious of objects, objectless concentration) as opposed to *sabījasaṃādhi* (seeded concentration) or *saṃprajñātasamādhi* (concentration conscious of an object).

88. 無所不照, or *wu-so pu-chao.*

89. The psychical or pure noetic "void" acquired in the just-mentioned state of concentration (undifferentiated enstasis). It is not to be identified with the "ontological void" of forms, to which frequent reference has been made. The late Chinese Master Hsü Yün says about this "psychical void": "What is the unrecordable dead emptiness? In our meditation, if we lose sight of the *hua-t'ou* (or *kōan*) while dwelling in stillness, there results an indistinctive voidness wherein there is nothing. The clinging to this state of stillness is a *Ch'an* [*Zen*] illness which we should never contract while undergoing our training." See Lu K'uan Yü, *Ch'an and Zen Teaching,* p. 65 and passim.

90. 無念, or *wu-nien.*

91. 方便 (or *fang-pien*; Jap.: *hōben*; Skt.: *upāya*). Expedient methods and convenient devices leading to truth.

92. 一念相應覺心初起, or *i-nien hsiang ying, chüeh-hsin ch'u ch'i.*

93. 心無初相 (or *hsin wu ch'u-hsiang*; Jap.: *shin ni shosō nashi*); 初相 (Jap.: *shosō*) standing for 業相 (Jap.: *gossō*), or "primordial consciousness-phenomenon."

94. 離微細念, or *li wei hsi nien.*

95. 名究竟覺, or *ming chiu-ching-chüeh.*

96. *Gaṇḍavyūha* (入法界品, or *ju-fa-chieh p'in*; Jap.: *nyūhokkaibon*) or the *Dharmadhātu-praveśa* (Chapter on entering into the *dharma-dhātu*), one of the most important of the texts contained in the 華嚴経 (or *Hua-yen ching*; Jap.: *Kegonkyō*; Skt.: *Avataṃsaka Sūtras*). See p. 54 and note 81 of part 1.

97. 本來平等, or *pen-lai p'ing-teng.*

98. 冥於根本眞淨心源 (or *ming yü ken-pen chen-ching hsin-yüan*; Jap.: *kompon no shinjō no shingen ni myōshite*). The verbal form of

myō suru is used in the sense of getting into the darkness, like sounding the depths of an endless ocean.

99. 塵沙 (or *ch'en-sha*; Jap.: *jinja*), also 塵灰 (or *ch'en-hui*), or 塵土 (or *ch'en-t'u*), meaning dust, grime, or the worldly life.

100. 常住法界, or *ch'ang chu fa-chieh*.

101. 大覺尊 (or *Ta-chüeh-tsun*; Jap.: *Daikakuson*) or 大覺世尊 (or *Ta-chüeh shih-tsun*; Jap.: *Daikakuseson*), a name applied to a Buddha, as being worthy of reverence on account of the evidence of his "great enlightenment" (大覺).

102. See the German translation of this work by Heinrich Dumoulin. "Quellenbeiträge," in *Monumenta Nipponica,* vol. 1, no. 1 (January 1938), pp. 178–221.

103. The *Kegon* doctrine is also called by Tsung-mi 一乘顯性教 (or *i-ch'eng hsien-hsing chiao*; Jap.: *ichijō-kenshō-gyō*). 顯 means manifested or exoteric. The *p'o-hsiang* (Chin.: "Middle Way" school; Jap.: *hasō*) doctrine is 密意 (or *mi-i*; Jap.: *mitchi*, or secret, esoteric). In the *Ch'an-yüan chu-ch'üan-chi tu-hsü* (Jap.: *Zengen-shozenshū tojo*), Tsung-mi proposes a threefold instead of a fivefold "gradation of doctrines," being the two first 密 (esoteric) and the third *(Kegon)* 顯 (manifested). See Ui Hakuju, *Zengen-shozenshū tojo,* p. 51. The fivefold "gradation of doctrines" *(gokyō)* is not original with Tsung-mi, but was first laid down in the 華嚴五教章 (or *Hua-yen wu-chiao chang*; Jap.: *Kegon-gokyō-shō*) by Hsien-shou Fa-tsang (Jap.: Genju Hōzō, 643–712), the third *Kegon* patriarch. (In *Taishō daizōkyō,* vol. 45, no. 1866).

104. 心有法空 (or *hsin-yu fa-k'ung*) and also 境空心有 (or *ching-k'ung hsin-yu*).

105. 我空法空 (or *wo-k'ung fa-k'ung*) or 心空法空 (or *hsin-k'ung fa-k'ung*).

106. 性相融会 (or *hsing-hsiang yung-hui*) and also the already-mentioned formula 事事無礙 (or *shih-shih wu-ai*; Jap.: *jiji-muge*); see also the similar formulas 円通無礙 (or *yüan-t'ung wu-ai*) and 性相無礙 (or *hsing hsiang wu ai*) in Ui Hakuju, *Ch'an-yüan chu-ch'üan-chi tu-hsü* (Jap.: *Zengen-shozenshū tojo*), pp. 250 f. It might be pertinent to note that Tsung-mi in his *Genninron* makes use of the already known terms 本 (or *pen*; Jap.: *hon*) and 末 (or *mo*; Jap.: *matsu*) to express the relation of the *Kegon* to the rest of Buddhist doctrines ("gradation of doctrines"). *Kegon* is considered as the complete doctrine holding in itself all partial manifestations of the Buddha teaching; from this point of view *Kegon* is the 本 (or *pen*; Jap.: *hon*) or original stem, containing the virtues of all partial mainfestations of truth 末 (or *mo*; Jap.: *matsu*). Thus the *Kegon* doctrine is in itself a perfect analogy of its own main ontological tenet: the *Tathāgata-garbha* (Chin.: 如來藏, or *ju-lai-tsang*). See Dumoulin, *Monumenta Nipponica*, pp. 215 and 219 (*Rückführung der unvollkommenen Lehre auf den wahren Grund*).

Part III

The Five Degrees Dialectic of the Sōtō-Zen School

1
Introduction

Both the psychological and cosmological bases of the dialectical opposition between the processes of "origination" and "reversion" have, hopefully, been established in the preceding chapters. The highly synthetic approach of Kuei-feng Tsung-mi, which represents a concrete link between *Kegon* and *Zen*, is grounded on the transcendental unity of "interpenetration" between "form" and "nonform." Noetically considered, the absolute dimension of metaphysical and all-involving "interinclusion" (*Tathāgata-garbha*) is equivalent to the *ālayavijñāna.*

The fivefold gradation was shown to play a dual role in Tsung-mi's doctrine. The first dialectic assigns five different approaches to the relationship between "unity" and "plurality," in order to establish the historical process involved in the development of the *Wu-chiao* (Jap.: *Gokyō*, or the five fundamental doctrines in Buddhism). The second five-staged representation was derived from the phases of "nonenlightenment-enlightenment" actually involved in the anthropological cycle of "origination-reversion." The historical progress towards a universal and all-comprehensive conception of the *ālayavijñāna* is the chief characteristic of the *Wu-chiao* scale; and it is this perfected notion of the *ālaya* that underlies Tsung-mi's *a-li-yeh shih* (Jap.: *ariya-shiki*) scheme of origination and reversion.

As stated in the general introduction, the *Sōtō* doctrine of the Five Degrees enumerates five approaches to the relationship between "unity" and "plurality," "identity" and "difference," "absoluteness" and "relativity," in a manner similar to the *chüeh-pu-chüeh* (Jap.: *kaku-fukaku,* "knowledge-nonknowledge") relationship exemplified in Tsung-mi's scheme. Although an obvious structural parallelism between the *a-li-yeh shih* (Jap.: *ariya-shiki*) scheme and the Five Degrees (*Wu-wei*; Jap.: *Goi*)[1] exists, one essential difference must be noted: the Five Degrees represent an attempt to visualize explicitly the five perspective moments that are implicitly identical for the enlightened mind. In this sense, they should embody not only a pure thought dialectical process, but an all-comprehensive and universal

one, capable of absorbing within itself the pan-cosmism and universalism proper to the strictly original sources of Chinese thinking, namely Taoism and Neo-Confucianism.

To view the texts as a philological basis for the Five Degrees Doctrine fails to provide one with the clues needed for an evident and clear-cut interpretation; and this is especially unfortunate when the inner structure of the dialectic is examined. A faithful translation of the original Chinese texts will not be free of linguistic and metaphorical obscurities; this fact hampers the possibility of definite, clear-cut interpretations and demands a great deal of guesswork. The most difficult (and also the most decisive) texts are divided into four basic sets of verses, each of which contains five stanzas; the first two sets are attributed to Tung-shan (Jap.: Tōsan), the founder of *Sōtō Zen*, while the two remaining sets are compositions of his disciple and cofounder, Ts'ao-shan (Jap.: Sōzan).[2] Additional explanatory texts of both founders and the interpretative writings of the two later *Sōtō* masters Chi-yin Hui-hung (Jap.: Jakuon Ekō) and Yung-chüeh Yüan-hsien (Jap.: Eikaku Genken) will be quoted in translation and used as the primary sources for reference and commentary.[3]

The key terms used in the *Wu-wei shuo* (Jap.: *Goi no setsu*, or Doctrine of the Five Degrees) are *cheng* (Jap.: *shō*) and *p'ien* (Jap.: *hen*).[4] *Cheng* (the straight) denotes absoluteness, substance, equality, and ideal principle. *P'ien* (Jap.: *hen*, or the biased) denotes relativity, diversity, function, concreteness, matter, and so forth. The perspectives concerning the interrelationship of both (*cheng-p'ien hui-hu*; Jap.: *shōhen-ego*)[5] constitute the Five Degrees.

Corresponding symbols suggested by Tung-shan, which are frequently used by Ts'ao-shan and subsequent interpreters, are the "lord" or "ruler" as the meaning of *cheng* (Jap.: *shō*, or absoluteness, the real) and the "vassal" or "subject"[6] as the meaning of *p'ien* (Jap.: *hen*, or relativity, the seeming). These pairs of opposites are the equivalent of Tsung-mi's *chüeh pu-chüeh* (Jap.: *kaku-fukaku*, or knowledge-nonknowledge), or *chen-wang* (Jap.: *shin-mō*, or truth-falsity), as stated previously.

Basic graphic expressions of the Five Degrees were used by interpreters (such as Hui-hung), who relied upon a set of very brief and intriguing instructions presented in the above-mentioned *Pao-ching*

san-mei (Jap.: *Hōkyō-zammai*, or the Samādhi of the precious mirror) text. Apparently, the text was composed by a master of Tung-shan and quoted in its entirety in the extant records of the founder. These symbols reproduce some of the "trigrams" and "hexagrams" used in the ancient classic *Book of Changes* (*I Ching*). Ts'ao-shan, most probably appropriating the symbolic emblems used by Tsung-mi in his scheme, applied circles with white and black portions to his stanzas; although this time, contrary to Tsung-mi's use of "white" for "purity or oneness" and "black" for "defilement or plurality," the symbolism is modified to "white" for "diversity or plurality" and "black" for "equality or oneness." The circular emblems were also used and interpreted by Chi-yin Hui-hung as simplified transcriptions of the trigrams and hexagrams. Yung-chüeh Yüan-hsien also adopted the circles, though in a different arrangement.

One must not ignore the fact that the complicated symbolism hidden in the *Wu-wei shuo* (Jap.: *Goi no setsu*)[7] was so abused by later commentators that the doctrine lost much of its native and original flavor. R. H. Blyth has depicted both the *Wu-wei shuo* (Jap.: *Goi no setsu*) and the *Ts'an-t'ung-ch'i* (Jap.: *Sandōkai*) of Shih-t'ou Hsi-ch'ien (Jap.: Sekitō Kisen)[8] as non-*Zen* and even anti-*Zen* speculation. However, not only do I deny the Blyth interpretation that a trace of Manichean dualism can be detected in the *Ts'an-t'ung-ch'i* (Jap.: *Sandōkai*), but I also find this to be an even greater impossibility in the *Wu-wei shuo* (Five Degrees Doctrine). Even if the *Sandōkai* were concerned with the resolution of the two opposites *li* (Jap.: *ri*) and *shih* (Jap.; *ji*) into a "super theos," there would not be solid ground for such an accusation. Yet, Shih-t'ou's *Ling-yüan* (Jap.: *Reigen*,[9] or spiritual source or origin) cannot be viewed as any variety of "super theos": it conveys an entirely Buddhistic concept synonymous with the *Tathāgata-garbha* (*ju-lai-tsang*; Jap.: *nyoraizō*) of the *Awakening of Faith* text and with the *dharmadhātu* of the *Hua-yen* (Jap.: *Kegon*) *Sūtras*. This dialectic of resolution of opposites is as proper to the *Kegon* as it is to the *Tendai* school;[10] and it embodies a doctrine in which dynamic and intuitive realization is supposedly featured in the attainment of *Zen-satori*. Blyth formulates the Five Degrees (*Wu-wei*; Jap.: *Goi*) through correlative sentences, which may be as unpoetical, impractical, and devoid of *Zen* as he wants:

1. God becoming man
2. Man becoming God
3. God being God
4. Man being man
5. Being neither God nor Man.[11]

However, I do not share the view that finds a likeness between such a formulation and the *kōan*-like original texts of Tung-shan and Ts'ao-shan. These texts, written in typically Zenistic enigmatic form, are not deprived of a poetic relish, and they manifest unsurmised depths, which no speculation will ever exhaust. Only external similarity will remind one of the theological, spurious formulation used by Blyth.

In order to proceed with a maximum of clarity, we shall begin with a translation and interpretation of the original texts of Tung-shan and Ts'ao-shan. The subsequent dialectical positions held by Hui-hung and Yüan-hsien will also be translated and expounded concomitantly. It should be stated from the outset that the positions both of Hui-hung and Yüan-hsien will direct the discussion to further controversies, which center mainly around two different syntheses: one favors a Taoist-Confucianist aproach based on the *Yin-Yang* duality, while the other favors the strict Buddhistic unitary conception established by the *Chung-tao* (Jap.: *Chūdō*; Skt.: *Mādhyamika*) and *Hua-yen* (*Kegon*, *Avataṃsaka*) doctrines. The intimate connection between both syntheses and their esoteric applications will be explicated in the fourth section of this study.

Let us now proceed to a detailed study of the texts.

2
The Chu-wei-sung (Chikui no ju), or Verses on the Sequence of Degrees, of Tung-shan Liang-chieh (Tōsan Ryōkai)

First Stanza[12]

Chinese:

正中偏
三更初夜月明前
莫怪相逢不相識
隱隱猶懷舊日妍。[or 嬌]

Japanese:
Shōchūhen
Sankō[13] shoya getsumei no mae,
ayashimu koto nakare
aiatte aishirazaru koto o,
in'in nao kyūjitsu no ken o omou.[14]

Translation:
There is diversity in the midst of equality.
In the beginning of the dead of night at the small hours, and before the moon shines,
do not be surprised that people meeting do not recognize one another.
And yet, they still harbor a faint memory of the fascination of the past day.

Commentary: The "pitch dark" period of the dead of night is a lucid symbol of undifferentiated consciousness; and consequently, it is an expression of the *pu-pien* (Jap.: *fuhen*, or immutability) notion of total blackness or lack of discrimination in the original mind. This stage corresponds to a standpoint of noetic emptiness, the highest state of *samādhi*, which Tsung-mi terms *hsin-tzu-tsai* (Jap.: *shin-jizai*).[15] The enlightened mind has reached the peak of total cessation of sensorial and intellective functions. But this stage of pureness is neither final nor exclusive: it contains the "seeds" of "past experiences" in the subliminal levels of consciousness. When "the moon starts shining," the process of discrimination will be ready to reappear. Subjectively interpreted, this stage denotes the "dark" and "pure" side of

the *ālayavijñāna*, while containing the "seeds" for future diversification. Cosmogonically, this step could be paralleled to the *kalpa* of emptiness (*k'ung-chieh*; Jap.: *kūkō*),[16] the cosmic "night" that retains the hidden "perfuming" (*vāsanā*) of the past "light" period. Because of the potential character of this "perfuming," the cosmic night is "heading towards a new era of diversification." Furthermore, equality will remain a constant while merging into diversification. The latter concept is implied by the formula *cheng-chung-p'ien* (Jap.: *shōchū-hen*), which can be stated in English as "in the middle of equality there is diversity." In the new *Fa-hsiang* school's conception of *pariṇāma*, the *ālaya* is introduced as the pure and immutable container of the *chung-tzu* (Jap.: *shūji*, or seeds), and the *hsün-hsi* (Jap.: *kunjū*, or the permeation or the trace of perfume left behind as the "faint fascination of the past day"). The concept of this stage, in *Mādhyamika* terms, is equivalent to *chi-mieh* (Jap.: *jakumetsu*; Skt.: *upaśama*, or quiet of extinction), which explicitly connotes the manifold deployment of the *hsi-lun* (Jap.: *keron*; Skt.: *prapañca*, or phenomenal manifestation) without ceasing to be *chi-mieh* (Jap.: *jakumetsu*).[17] One looks into the process of diversification from the formal medium of absolute identity.

Second Stanza

Chinese:

偏中正
失曉老婆逢古鏡
分明覿面別無眞
休更迷頭還認影。

Japanese:

Henchūshō

Shitsugyō no rōba kokyō ni au,
bummyō tekimen betsu ni shin nashi,
sara ni kōbe o mayowashite kaette
kage o mitomuru koto o yameyo.

Translation:

There is equality in the midst of diversity.
The old woman, who missed the dawn [of the new day].
stands in front of her old mirror now.
She sees her face with perfect clarity;

rther reality beyond this.
your head again this way and that
edence to those reflexions.

· Contrary to the foregoing state, we find ourselves in e day with its multiplicity of objects, cares, and con- resents the state of discrimination at its height, as -*yüan* (Jap.: *zui'en*),[18] or the all-involving chain of old woman, who symbolizes the karmic result of the e of becoming, has slept through the "dawning of the d has been unaware of the original and primordial n the process of its own act of discriminating, includ- on of simple consciousness through *hsi-ch'i* (Jap.: ıting agent) and the *san-hsi* (Jap.: *sansai*), or "three ess, which dichotomizes the primordial activity of *h-hsiang*; Jap.: *gossō*) into "subjective consciousness" world." This dichotomy is symbolized by the old olating her image in the mirror. There is no reality :r fact of deluded consciousness objectifying its own *ıtantra*) and mistaking them for real and separate *kalpita*).

eminds one of Tsung-mi's "wealthy and noble man," p and emerges in a dream world of indigence, without ch a world is composed of insubstantial and "turning enlightened mind exhorts everyone to desist from the reality" and independent existence (*shih-wo shih-fa*; *bō*) to shadows, and to attain the ultimate realization :re "provisional" forms having no proper entity (*chia-* .: *keu-jitsumu*).[19] The very essence of things, viewed ıptiness" (*k'ung*; Jap.: *kū*), is the equality that is :dded in diversity. In the second stage, "diversity" is : the proper platform on which to reestablish the "ab- ' of things. This perspective delves into "absoluteness" l medium of "relativity." Under the immediate fact uteness" intrinsically permeates each corner of "rela- e stated that "there is equality in the middle of di-

Third Stanza

Chinese:

正中來

無中有路隔塵埃

但能不觸當今諱

也勝前朝斷舌才。

Japanese:

Shōchūrai

Muchū michi ari jin'ai[20] o hedatsu,
tada yoku tōkon no imina[21] ni furezu tomo,
mata zenchō danzetsu no sai ni masaran.

Translation:

Coming from the midst of equality.
There is a path in the midst of nothingness (which
leads afar from the dust and grime of worldly life).
Only by not infringing [upon the taboo of] the
forbidden name [of the Emperor] of your time will you be able
to surpass once again the genius of the tongue-
cutting [orator] of the past dynasty.

Commentary: This is the stage in which the mind begins to show appreciation for the true values of silence, quietude, and serenity, learned "in the middle of equality." It is here that the dynamic reversion towards equality proper (of the second stage) finds its rewarding fulfillment. As the second stage marks a trend of the mind turning from the multiplicity of the "biased" towards the realm of the "straight" (equality), this third stage shows the state of the mind after it has *in fact* been already in the very midst of equality and is now emerging from it. Therefore, in the present stage, equality is considered as a level already "attained to" and won through the effort invested in the *dhyāna* practice (meditation): it entails the fact of having experienced the ecstatic but transitional state of undifferentiated consciousness. This provisory state, obviously not final, conceals all worldly objects from the mind; and this must be duly appreciated as a way to acquire a grip on the vain "palavering" (*hsi-lun*; Jap.: *keron*; Skt.: *prapañca*) that is the discriminating work of false thinking. This check on "palavering" has to be applied to the very level of the "biased" (diversity), to which mind is returning. The stanza en-

hances the value of complete silence by the persuading counsel to avoid "talking too much": excessive talking leads to unforeseeable risks, such as the example of the famed orator of the Sui dynasty (which was earlier than the Tang dynasty, under which Tung-shan lived) who, by an imprudent use of his "loquacity," was accused by the emperor and eventually executed. Before his death, he inflicted a symbolic cut on the tongue of his son, warning him against indulgence in dangerous talk, such as pronouncing the forbidden real name of an emperor (*hui*; Jap.: *imina*).[22] Only by living in silence could he escape the tragic destiny of his father.[23]

Fourth Stanza

Chinese:

兼中至
兩刃交鋒不相避
好手猶如火裡蓮
宛然自有衝天氣。

Japanese:

Kenchūshi

Ryōjin hoko o majiete aisakezu,[24]
kōshu wa nao kari no hasu no gotoshi,
ennen to shite onozukara shōten[25] no ki ari.

Translation:

Moving into the midst of both (equality and diversity).
When two sharp blades become locked in duel,
then good hands [at fencing], like lotuses in the midst of a flame,
have in themselves, just as they are,
the vigor to strike at the heavens.

Commentary: According to the texts of Ts'ao-shan (which will be studied later), this stage is termed *p'ien-chung-chih* (Jap.: *henchūshi*, or going into the midst of diversity); this would represent the natural sequence to the former stage (coming from the midst of equality). In the *Chün-ch'en wu-wei* (Jap.: *Kunshin goi*)[26] of Ts'ao-shan, we shall see that this fourth stage represents "the vassal alone" and that the latter runs counter to the third stage, which refers to "the lord alone." However, in the textual transcription of the Taishō edition, this stanza is rendered as *chien-chung-chih* (Jap.: *kenchūshi*, or coming into the midst of both), whereas in the same Taishō version

of the *Wu-wei chih-chüeh* (Jap.: *Goi shiketsu*) of *Ts'ao-shan*, it is again given as *p'ien-chung-chih* (Jap.: *henchūshi*,[27] or going into the midst of the biased), which, of course, would correspond to the fourth stage as representing "the vassal alone." As will be seen later, Yüan-hsien (sixteenth century A.D.) viewed this point controversially and accused Hui-hung (twelfth century A.D.) of having modified the formula *chien-chung-chih* (Jap.: *kenchūshi*) into *p'ien-chung-chih* (Jap.: *henchūshi*) arbitrarily. Obviously, objective reasons favor both interpretations: the fundamental view is the probable difference in the inner structure, which affects the original texts of Tung-shan in opposition to the texts of Ts'ao-shan. We shall return in a later section of this study to this disagreement. In Yüan-hsien's interpretation, the two intersected swords would symbolize the movement of the mind towards the midst of both aspects (of equality and diversity) through some kind of harmonious consortment of both levels of reality. According to Yüan-hsien, this stage envisages the going out of the experience of sheer emptiness and utter equality (in order to return to diversity) *without abandoning it* in a way. Thereby equality and diversity, silence and talk, stillness and action will be harmonized into a functional coexistence. Yüan-hsien expresses it through the following formula: *ch'üan-t'i chi-yung* (Jap.: *zentai-sokuyū*),[28] which denotes that "the whole body of reality" (involving both "equality" and "diversity") is resolving itself into functional harmony between all levels of existence. It is like the man who, after staring for a while at the sun, returns to the midst of the forest (diversity) and sees the image of the sun (equality) in each one of the many trees. This stage seems thus to depict the merciful activity that the enlightened mind exercises under the vows of the *fa-hsin* (Jap.: *hosshin*) stage, as described by Tsung-mi, and it includes the three characteristics of "compassion," "wisdom," and "holy desires" to help both with the liberation of others and with the practical application of the *fang-pien* (Jap.: *hōben*) expedients to accomplish this merciful aim. One lives and moves in the world under the perpetual awareness of worldly emptiness. One is free from "forms" (*se-tzu-tsai*; Jap.: *shiki-jizai*)[29] in the very act of dwelling in "forms." One becomes self-diversified by using diversity and by functioning in diversity without forsaking the already conquered equality. In this sense, "equality" and "diversity"

come to function like "two sharp blades locked in duel"; they are crossing one another, as the two blades cross their points, where the fencing hands that handle them still retain the vigor to strike at the heavens. This means that whether in the midst of equality or in the midst of diversity, the mind always retains the total vigor of its enlightenment and, as such, is always ready to exert itself in the activity of mercy towards all sentient beings without being absorbed by it, similarly to the legendary "lotus in the midst of the fire," which is never consumed by it.[30] In this respect the synthesis between "stillness" and "activity" is a functional one and does not represent yet a formal identity. This is expressed by the character *chih* (Jap.: *shi*), which denotes active motion towards the center, and not the formal and simultaneous arrival of both aspects at the middle, which is expressed by the character *tao* (Jap.: *tō*).[31] This type of *actio in contemplatione* is, nevertheless, filled with the impetus of enlightenment, which strikes at and crosses through the infinitude of the heavens without ever abandoning them.

Fifth Stanza

Chinese:

兼 中 到
不 落 有 無 誰 敢 和
人 人 盡 欲 出 常 流
折 合 還 歸 炭 裡 坐。

Japanese:

Kenchūtō

U-mu[32] ni ochizu shite tare ka aete wasen,
nin-nin kotogotoku
jōru o iden to hossu,
setsugō shite kaette
tanri ni kishite zasu.

Translation:

Arriving at the middle of both.

Who will dare to harmonize both "being" and "nonbeing"
without falling [again] into either [of their extremes]?
Many men wish to escape the stream of the ordinary [and
humdrum]
and yet, in the final reckoning,

fall right back into the midst of the coals,
and there they sit.

Commentary: The fifth stanza seems to convey both a very serious warning and at the same time the highest of all of the *Tathāgata*'s teachings. According to the stanza, arriving at the summit of ultimate truth is not such an easy task to perform. There are many who fall into the pit of a false evaluation of their achievements, and the result is that, in the final reckoning, they find themselves down below, at the very point at which they started, with empty hands, in the midst of the dirty coals of primordial ignorance. This concerned warning concomitantly enhances the sublimity of the all-comprehensive knowledge realized through true enlightenment. The harmonization between "nonbeing" and "being," one and many, identity and difference, equality and diversity—which was said to be the aim of the preceding stage (fourth stanza)—has to reach a climax in a formal and thorough identification. The vision of the Jetavana tower with the jeweled net, in which every precious stone shines with the reflexions of all others, is representative of a truth intrinsically superior to a mere functional harmonization where "oneness" and "plurality" merely rest on one another, but do not really merge with each other. Who will be able to bring them together into this supreme identification? The ones who try to realize the Absolute by turning their back to the Relative will have the bitter awakening of finding themselves right back at the beginning of their attempted journey: they will have achieved nothing.

In the words of Yüan-hsien, the "fifth degree" no longer represents the state of sheer functional consortment between "stillness" and "action" as expressed by his formula *ch'üan-t'i chi-yung* (Jap.: *zentai-sokuyū*) (see the fourth stanza). According to Yüan-hsien, this ultimate "degree" is properly characterized by the expression *ch'üan-yung chi-t'i* (Jap.: *zen'yū-sokutai*,[33] the reverse of *ch'üan-t'i chi-yung*; Jap.: *zentai-sokuyū*), namely, "the entire function (of both stillness and action) is but *one body* of reality." Yüan-hsien further illustrates the spirit of this stanza with the following statement: "[Ultimate realization] is something that illuminates both the particular and the universal, that makes use both of 'light' and 'darkness' [simultaneously]."[34]

Thus the coincidence of *li* (Jap.: *ri*) and *shih* (Jap.: *ji*), equality

and diversity, is uplifted to a dimension of absolute and ontological fusion. In genuine realization they are not seen as merely resting on one another or merely cooperating with each other; they are seen as an inexhaustibly self-contained, self-determining sameness. As Yüan-hsien further says,

> [By] exhausting the [knowledge of the] ultimate reality and forsaking all merits [proper to former stages], one arrives at the level of total and traceless fusion of both *li* and *shih*. *Li* and *shih*, standing together, become fused and by no means arise again [as opposing one another].[35]

3

Chi-yin Hui-hung's (Jakuon Ekō's) Interpretation of the Chu-wei-sung, Following the Pao-ching san-mei (Hōkyō-zammai), and Yung-chüeh Yüan-hsien's (Eikaku Genken's) Attempt to Refute It

The *Pao-ching san-mei* hymn[36] (the Samādhi of the precious mirror), commonly attributed to Tung-shan, but apparently received by the master from his teacher Yün-yen, has a set of six verses which clearly allude to the Five Degrees. The verses try to link the development and derivation of the five stages with some of the trigrams and hexagrams used in the ancient *Book of Changes* (*I Ching*), which thereby exemplifies a basis for their symbolic representation. The main text of the *I Ching* and the appendices provide the foundation for the classical doctrine of the *Yin* (darkness) and the *Yang* (brightness).[37] These opposing principles were taken (uncritically) by the Buddhist author of the *Pao-ching san-mei* (Jap.: *Hōkyō-zammai*) as perfect synonyms for the apparently similar terms *an-ming* (Jap.: *an-myō*) or *li-shih* (Jap.: *ri-ji*).[38] Presupposing this equivalence in meaning, the *Yang* is symbolically represented by an undivided line (———) and is identified with the *Sōtō* concept of *cheng* (Jap.: *shō*, or straight). The *Yin*, symbolized by a broken line (— —), is the equivalent of *p'ien* (Jan.: *hen*, or biased, or relativity).

It will be shown that the mentioned "pairs" of opposites as adopted by the Buddhist philosophers (*an-ming*; Jap.: *an-myō*; and *li-shih*; Jap.: *ri-ji*) are far from an exact correspondence to the original meanings of *Yin* and *Yang*. Of these the latter really denotes activity, and the former, passivity. The obvious distortion of the original, classical meanings, in order to permit their usage in Buddhist metaphysical contexts, later motivated the revisions and readjustments of the Five Degrees dialectic on the basis of Yüan-hsien's scheme. This topic, as promised, will be treated in the final part of this study.

The basic combinations of *Yin* and *Yang* are presented in the

I Ching by eight trigrams composed of three lines, whether *Yin* or *Yang*.[30] The eight basic trigrams are often represented in octagonal shape (the *Pa Kua*) surrounding the circular emblem of the Great Ultimate, which contains the potential sources of the *Yin* and the *Yang*:



By superimposing the eight fundamental trigrams in sets, a total of sixty-four combinations, in the form of hexagrams, is derived. On the basis of these sixty-four hexagrams, the *I Ching* explains the essential groups of combined elements which intervene in all worldly things, events, and human circumstances. A person takes a bundle of fifty stalks from the milfoil plant, and manipulates them by making six successive divisions in the two groups of remaining stalks in order to obtain the twofold combination of numbers that corresponds to a departing hexagram and to its transition or "change" into another resulting hexagram. The practice of Chinese fortunetelling and counseling relies upon the quality of the change, described by the *I Ching*.

According to the *Pao-ching san-mei* (Jap.: *Hōkyō-zammai*), the Five Ranks developed by deriving two trigrams from within a fundamental hexagram called *chung-li* (Jap.: *jūri*),[40] and from which two hexagrams (the combination of the previously obtained trigrams) result. This development is presented in the puzzling verses that follow:

Chinese: 重離六爻。偏正回互。
疊而為三。變盡成五。
如荎草味。如金剛杵。

Japanese:
Jūri rokkō, henshō-ego shi,
tatande mitsu to nari
henjitsukushite, itsutsu to naru,

chisō no ajiwai no gotoku,
kongōsho no gotoshi.[41]

Translation:[42]
The hexagram *chung-li* (Jap.: *jūri*) expresses the interdependence of *p'ien* (Jap.: *hen*) and *cheng* (Jap.: *shō*). When folding it, three variations arise. In completing the change, the variations become five. Just as the [fivefold taste] of the *sanekazura* grass, similarly the [five-pronged] "diamond-scepter."[43]

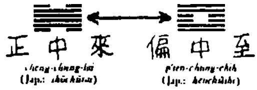
The hexagram *chung-li*: ䷝ , which is number thirty in the table of the sixty-four combinations of the *I Ching*, is considered here to be the most harmonious, complete, and well balanced of all the hexagrams. It is composed by the duplication of the basic trigram *li* ☲ , which represents fire. It is the symbol of a singular essence with the twofold oppositional capability of "union" and "separation." By duplicating the trigram, the opposing elements of *Yin* and *Yang* are found to occupy the inner section (four inner lines) of the hexagram *chung-li*: ䷝ ; the very middle is *Yang* ⚊ , while the outer middle is *Yin* ⚋ . Because both principles constitute the four inner elements of the *chung-li*, the *Pao-ching san-mei* (Jap.: *Hōkyō-zammai*) interprets it as being a representation of oppositionless nonduality, which, in Buddhist terminology, is the real "suchness" of both aspects (the *cheng* and the *p'ien*) of existence. Obviously, the *chung-li* will portray the state of perfect fusion between the *cheng* (Jap.: *shō*) and the *p'ien* (Jap.: *hen*), namely, the fifth stage, or *chien-chung-tao* (Jap.: *kenchūtō*).[44]

Fortunately, Chi-yin Hui-hung provides an exegesis that gives us the clue to correct understanding of the difficult *Pao-ching san-mei* verses quoted above. I quote him in my translation:[45]

By interchanging the lines of the *li* [or *chung-li*] hexagram, five diagrams will result; by folding it [the *chung-li*], three diagrams are obtained; the first one will be the *chung-li* itself: ䷝ . By taking the second, third, and fourth lines we shall have the trigram *sun* [namely] ☴ .[46] By taking the third, fourth, and fifth lines we shall have the trigram *tui* [namely] ☱ .[47] This is why it is said that by folding the *chung-li*

it becomes three. Now, placing the *sun* below and the *tui* above, we shall obtain the hexagram *ta-kuo*, ䷛ .[48] And furthermore, by placing the *tui* below and the *sun* above, we shall obtain the hexagram *Chung fu*, namely, ䷼ .[49] This is why it is said that by completing the changes one obtains five variations.

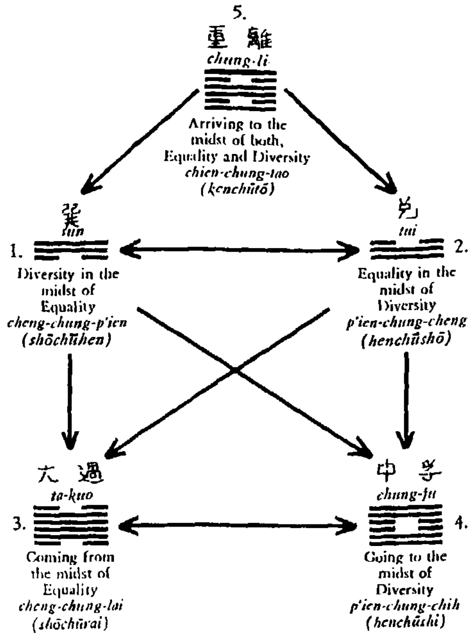
Taking into account the probability that Hui-hung relied upon the texts of Ts'ao-shan, it is obvious that he would interpret the two resulting hexagrams, *ta-kuo* and *chung-fu*, as antithetical expressions of interdependence between the Buddhistic principles *li* and *ch'i*. On this basis, he was reasonably expected to interpret the *chung-fu* hexagram as representing *p'ien-chung-chih* (Jap.: *henchūshi*, or coming to the midst of diversity) and not *chien-chung-chih* (Jap.: *kenchūshi*, or moving toward the center of both), which, as seen above, seems to be Tung-shan's meaning of the fourth stage of his *Chu-wei-sung* (Jap.: *Chikui no ju*). As a matter of fact, the two resulting hexagrams are in unmistakable opposition:



This opposition gives strong support to Hui-hung's decision to expound the interrelationship of the Five Degrees according to the diagram at the top of page 134.

Yung-chüeh Yüan-hsien probably remembered the original wording of the *Chu-wei-sung* (Jap.: *Chikui no ju*) and the *Kung-hsün wu-wei* (Jap.: *Kōkun goi*) of Tung-shan, and never admitted that the fourth stage should be interpreted as the antithesis of the third (*p'ien-chung-chih*; Jap.: *henchūshi*), but rather as a correlative (if not exactly antithetical) to the fifth (*chien-chung-chih*; Jap.: *kenchūshi*). Obviously, he could have argued against Hui-hung's interpretation by stating in addition that the hexagrams *chung-li* and *chung-fu* could be considered solely as a correlated pair, by leaving the *ta-kuo*, number 3, as both the pivot and the center of the diagram. Then the *chung-fu* (4) could be considered as *chien-chung-chih* (Jap.: *kenchūshi*) confronting *chien-chung-tao* (Jap.: *kenchūtō*, as *chung-li*) in the following manner:





The difference between the two then appears in the inner composition of the hexagram:



In spite of this possibility, Yüan-hsien relied upon the symbolism of the *chin-kang-ch'u* (Jap.: *kongōsho*, or diamond-pounder) and on the very questionable structure of the circles used by Ts'ao-shan in his *Chün-ch'en wu-wei* (Jap.: *Kunshin goi*). Otherwise he ignored the *I Ching* hexagrams. His arguments against Hui-hung proceed as follows (my own translation):[60]

> Hui-hung changed the *chien-chung-chih* [Jap.: *kenchūshi*, or fourth stage] and transformed it into *p'ien-chung-chih* [Jap.: *henchūshi*], thereby intending to oppose it to the *cheng-chung-lai* [Jap.: *shōchūrai*, or third stage]; this considerably misled [the interpretative efforts of] the scholars who followed thereafter. Now we shall try to correct [such a false interpretation].

Obviously the [third] rank of *cheng-chung-lai* [Jap.: *shōchū-rai*] is [to be considered as] the pivot and center of the [other] four stages. The first two stages of *cheng-chung-p'ien* [Jap.: *shōchūhen*] and *p'ien-chung-cheng* [Jap.: *henchūshō*] are meant as a way into the *cheng-chung-lai* [Jap.: *shōchūrai*]; the two last stages of *chien-chung-chih* [Jap.: *kenchūshi*] and *chien-chung-tao* [Jap.: *kenchūtō*] represent the coming out [from] *cheng-chung-lai* [Jap.: *shōchūrai*], properly depicting in this way the supreme level [of enlightenment].[51] One could not say that they oppose one another. This is the first reason why I do not agree [with Hui-hung's exposition].

Again, if *p'ien-chung-chih* [Jap.: *henchūshi*, as the fourth stage] were to be considered as opposed to *cheng-chung-lai* [Jap.: *shōchūrai*, or third stage], then it would follow that two stages [within five] would occupy the center of the process which conflicts with the symbolism of the "diamond-scepter."[52] This is the second reason why I do not agree [with Hui-hung].

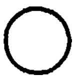
Again, the [so-called] *p'ien-chung-chih* [Jap.: *henchūshi*, or fourth stage] is represented by a white circle,[53] whereas the *cheng-chung-lai* [Jap.: *shōchūrai*, or third stage] is symbolized by a circle that is black on the inside and white on the outside; yet such circles do not constitute any opposition at all. This is the third reason why I do not agree [with Hui-hung].

Again, *chien-chung-tao* [Jap.: *kenchūtō*], as represented by a totally black circle, really stands as a correlate to *kenchūshi*, which is represented by a totally white circle. May one conceivably say that *kenchūtō* alone remains behind without a counterpart? This is the fourth reason why I do not agree with Hui-hung.

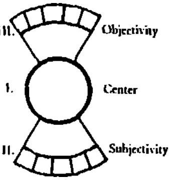
The bulk of this argumentation, as massive as it might seem, does not constitute an acceptable refutation of Hui-hung's conception. Mention of the *chin-kang-ch'u* (Jap.: *kongōsho*, or diamond-pounder), a symbol used by the author of the *Pao-ching san-mei* (Jap.: *Hōkyō-zammai*), may apply to Yüan-hsien's conception of the *Wu-wei* (Jap.: *Goi*). Nevertheless, the symbolism of the *chin-kang-ch'u* (diamond-pounder) should not be given more significance than can

be attributed to the "fivefold taste" of the Sanekazura fruits, a symbol also used by the *Pao-ching san-mei*.[64]

Seemingly, the origin of the *chin-kang-ch'u* (diamond-pounder) may be traced back to a type of weapon used in ancient India, which was viewed subsequently as a symbol of the power of Indra (the god of thunderstorms, who is frequently mentioned in the Pāli Scriptures). It was linked to the concept of the *Maṇi* jewel or diamond stone (*vajra*) and passed to posterity as a token of truth and enlightenment. *The Diamond-cutter* (*Vajracchedikā*) was also used as a title of one of the most representative *sūtras* of the *prajñā-pāramitā* series. The name of *Vajra* (*Chin-kang*; Jap.: *Kongō*), when applied to the symbolic pounder, supposedly refers (1) to its hardness, its ability to smash and dispel all varieties of evils, and (2) to its symbolic representation of the original *bodhi* mind, containing (in itself) the utter simplicity and transparency of unity and the total variety of its color reflexions in the bipolarity of consciousness and the world. The center has a spherelike shape, which, by a symbolism reminiscent of the "storehouse" character of the *ālayavijñāna*, supposedly contains the seeds of the universe in its nondeveloped, nonoppositional potential state:

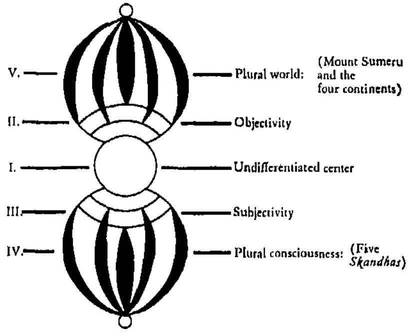
1.


The two oppositional poles of development grow out of this indeterminate but potentially saturated center in the form of lotus flowers, which represent the primordial split between subjectivity and objectivity. Thus, three fundamental stages originate: center, subjectivity, and objectivity:



As a further polar development, the five constituents of subjectivity (*skandhas*) grow out of the lotus petal in the form of one central prong and four surrounding ones on one side, and the five sites of the world are represented by the opposite side of the sphere with another

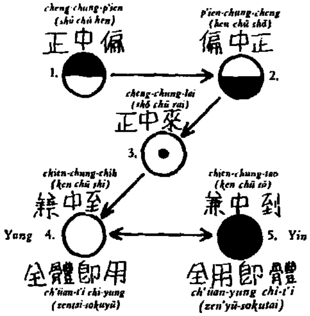
group of five prongs in the same arrangement. Mount Sumeru, the center of the universe, is portrayed by the central prong, while the other four exhibit the four directions (N, S, E, W) and the four continents:[66]



Therefore, the *vajra*-pounder could be said to constitute a bipolar *maṇḍala*, which symbolizes the relationship of oneness and plurality on the basis of "five stages." The polar development clearly refers to cosmogonic origination and to the split between subject and object. From this viewpoint, the *chin-kang-ch'u* (*Vajra*-pounder) cannot be taken as a rigorous symbol of the Five Degrees dialectic as propounded by Tung-shan and Ts'ao-shan. Nevertheless, the fact that the said pounder has a spherical center that serves as the pivot of a bipolar development reveals an undeniable parallel to the most probable conception of Tung-shan, who seemingly proposed his fourth stage as *chien-chung-chih* (Jap.: *kenchūshi*), and correlated it with *chien-chung-tao* (Jap.: *kenchūtō*) rather than *cheng-chung-lai* (Jap.: *shōchūrai*). This causes Yüan-hsien's conception of the Five Degrees to develop in the structural form of a central pivot, *cheng-chung-lai* (Jap.: *shōchūrai*), and two polar pairs of relationships. One pair represents "origination" and "reversion" (*cheng-chung-p'ien–p'ien-chung-cheng*; Jap.: *shōchūhen-henchūshō*) as a circular process that begins and ends in "equality" (*cheng-chung-lai*; Jap.: *shōchūrai*). The other pair symbolizes the level of enlightenment from two correlational points of view: one envisages the functional aspect of the "substance" (*ch'üan-t'i chi-yung*; Jap.: *zentai-sokuyū*, or its corresponding *chien-chung-chih*; Jap.: *kenchūshi*), while the other envisages the "substantial" and "unitary" aspect of the function (*ch'üan-*

yung chi-t'i; Jap.: *zen'yū-sokutai*,[56] or its corresponding *chien-chung-tao*; Jap.: *kenchūtō*). In a very true respect these two aspects of enlightenment imply a "going out" of equality. They fathom a dimension of "nonexclusiveness," which is impossible to view as a mere realm of undifferentiation. The foremost reason for this statement, as previously stated, is that pure undifferentiation "excludes" differentiation, and thereby "precludes" absolute "interinclusion."

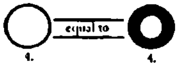
According to Yüan-hsien, the symbolic representation of Tung-shan's Five Degrees would be exhibited by the following diagram:



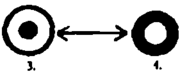
The first and second upper stages are reminiscent of the fourth and fifth levels (origination-reversion) in the *ālayavijñāna* scheme of Tsung-mi; although here, as already noted, the symbolic signs of "black" (equality) and "white" (diversity) are contrary to Tsung-mi's use of the white for "purity" (unity) and black for "defilement" (plurality). The two stages below represent the level of total enlightenment that surpasses the stage of the "empty mind," which was exhibited in the central stage ("coming from equality"). The fourth stage conjoins both extremes, although allowing for "diversity" as immediate and "equality" as mediate. The fifth, which also encloses both, sees "equality" as immediate and "diversity" as mediate in this instance.

It is obvious that Yüan-hsien was using the symbols devised by Ts'ao-shan for his own set of stanzas, the *Chün-ch'en wu-wei* (Jap.: *Kunshin goi*).[57] Yet, it is not absolutely clear whether Ts'ao-shan really intended to use a *totally white* circle to symbolize his fourth stage, or whether his intention was to have a concentric combination that could be visualized by white on the inside and black on the outside, as did Tsung-mi. This, after all, would be the obvious result of

simply thickening the circumferential line of the white circle in this way:



Were this the case, opposition would certainly stand between the third stage (*cheng-chung-lai*; Jap.: *shōchūrai*) and the fourth (*pien-chung-chih*; Jap.: *henchūshi*) in the following manner:



This arrangement, which is in accordance with Hui-hung's interpretation, would actually alter the entire inner structure of the Five Degrees and would make the symbolism of the *chin-kang-ch'u* (*vajra*-pounder) even more remote than it was previously understood to be in Yüan-hsien's theory of the *cheng-chung-lai* (Jap.: *shōchūrai*, or third stage) as the pivot between two pairs of correlations. At any rate, this proves that trying to force the original texts of Tung-shan and Ts'ao-shan (concerning the *Wu-wei*, or Five Degrees) into one common model does not serve any purpose; and in my opinion, the most probable thing is that an objective difference lies between the ways that both founders of *Sōtō* conceived the internal relationships of the Five Degrees. Yüan-hsien was probably correct in interpreting Tung-shan's *Chu-wei-sung* (Jap.: *Chikui no ju*), whereas Hui-hung seems to have developed the *Pao-ching san-mei* (Jap.: *Hōkyō-zammai*) variations of hexagrams on the structural frame propounded by Ts'ao-shan. It would be useless to imply that only one rendering could envelop the proper understanding of schemes, which, when viewed from the opposite pole, are exposed to the most extravagant speculations. At this point, the discussion will proceed to a survey of Tung-shan's second set of stanzas: namely, the *Kung-hsün wu-wei-sung* (Jap.: *Kōkun goi no ju*).

4

The Kung-hsün wu-wei-sung, or Verses on the Five Degrees of Meritorious Achievements, by Tung-shan

The second set of stanzas by Tung-shan follows the same pattern of the previously explained *Chu-wei-sung* (Jap.: *Chikui no ju*); nevertheless, the *Kung-hsün wu-wei* (Jap.: *Kōkun goi no ju*)[58] brings into prominence a new approach to the dialectic of the Five Degrees. In the *Chu-wei-sung* (Jap.: *Chikui no ju*, or Verses on the sequence of degrees), the stages seem to be mainly regarded from a merely cognitive point of view; whereas in the *Kung-hsün wu-wei* (Jap.: *Kōkun goi*), the progress involved in the five stages includes a new moral and volitive aspect: now the emphasis is placed upon the "gradual acquisition of merits." It could be said that a hierarchy of ascetical progress and accumulation of merits seems to parallel the noetic gradation implied by "entering into equality" and "going out of it." There is still one difference: the cognitive Five Degrees, when fundamentally presented as subsequent viewpoints of the already enlightened mind, would not involve a subjective and actual progress towards the ultimate goal of Buddhahood. Whatever the merit of Yüan-hsien's interpretation, the first pair of stages (*cheng-chung-p'ien–p'ien-chung-cheng*; Jap.: *shōchūhen-henchūshō*), even if regarded as positing the processes of "origination" and "reversion," also prove to be viewed from a platform of enlightenment. The ultimate reality of "interpenetration" or "interinclusion" is at least implicitly presupposed from the outset and not merely "discovered" as a result of "*going out of equality*" (the third stage). The *Kung-hsün wu-wei* (Jap.: *Kōkun goi*), however, adopts a nomenclature that positively implies an actual evolution towards the goal of the "supreme merit" that accompanies the attainment of "exhaustive knowledge." Hence, it would be arduous to determine the extent to which this "exhaustive knowledge" is also presupposed in all five stages of the *Kung-hsün wu-wei* (Jap.: *Kōkun goi*); or whether (in contrast to the *Chu-wei-sung*) it is to be reckoned as an ultimate and proper characteristic of the fifth stage. The progressive listing of merits or achievements composing the

Kung-hsün wu-wei seems to favor the latter interpretation. The rendering and interpretation of this text follows:[59]

First Stanza

Chinese: 向

聖主由來法帝堯
御人以禮曲龍腰
有時閙市頭邊過
到處文明賀聖朝。

Japanese:
Kyō
Shōshu yurai Teigyō[60] ni nottoru,
hito o gyo suru ni rei o motte shite ryūyō o magu,[61]
aru toki nyōshi tōhen ni sugureba,
itaru-tokoro bummei ni shite seichō o gasu.

Translation:
Submission (or *Conversion*).
From the very beginning, the sainted rulers
have modeled themselves on the emperor Yao.
Governing their people with propriety,
they [the rulers] have bent "their dragon hips."
There was a time when, as [the imperial carriage] passed
a bustling marketplace,
everywhere the sainted Court was congratulated
on its enlightened virtue.

Commentary: This first stage supposedly entails the primordial attitude of "turning of attention" (*hsiang*; Jap.: *kyō*). Although inactive, this position includes an initial tending towards good-in-general. This general disposition is portrayed by the symbol of the legendary wise kings of China who supposedly imitated the example of the emperor Yao. The rulers Shun, Yü (twenty-second century B.C.), and T'ang (eighteenth century B.C.), together with Yao, are called the "sage emperors." According to the legend, Yao thought that his son was an incompetent successor to head the government. "Bowing to the good" of his people, he yielded the throne to a commoner named Shun, who became the noble emperor. Thanks to Yao's

attitude of deference and respect for his subjects, to whom he was just like a servant, the choice of Shun resulted from his art of "governing without governing." The sage rulers, following the example of Yao, governed their people by bending their "dragon-hips": the "dragon," in this case, symbolized imperial dignity. The acts of "bowing" and "bending" towards the people, in order to display respect for the common welfare of the state, was the basic attitude of such wise rulers. "Bending the dragon's hips" was a visible sign that their intention was "turned towards" their subjects and inferiors and that they were free of the motives of greed that are common to most possessors of power.

That is why everywhere, through many generations, the common people celebrate this honorable characteristic, which is a principle of virtue and civilization.

It is easily seen that the fundamental attitude is one in which the superior turns towards the inferior. This is reminiscent of Ts'ao-shan's simile of the "lord's looking at the vassal." Nevertheless, the central thought in the line-up of merits will be the pure fact of such a primordial "disposition of mind," which is "readiness" or "intention to serve" and which is basically presupposed in Tsung-mi's step of *fa-hsin* (Jap.: *hosshin*).[62] These merits are the three "dispositions of mind" (*san-hsin*; Jap.: *sanshin*), namely, "compassion," "wisdom," and "holy aspirations."

Second Stanza

Chinese:

奉
淨洗濃粧爲阿誰
子規聲裏勸人歸
百花落盡啼無盡
更向亂峯深處啼。

Japanese:

Hō.
Jōsen nōsō asui[63] ga tame zo,
shiki[64] no seiri hito no totsugu o susumu,
hyaku ka ochitsukuredomo
tei[65] wa tsukuru koto nashi,
sara ni rampō
fukaki tokoro ni
mukatte naku.

Translation:
Service.
All this bathing and washing, all this garnishing
yourself profusingly, [and]
for whose sake?
The inner [meaning] of the *tzu-kuei* bird's voice
is persuading you to wed [your beloved].
Even if all of the hundred flowers were to wither one after another,
the echo of its "cuckoo . . . cuckoo" sound would never be
extinguished;
while flying towards the recesses of the rough peaks
the *tzu-kuei* endlessly keeps singing his "cuckoo . . . !"

Commentary: This stanza uses the figure of a maiden laboriously preparing for her wedding. She bathes and embellishes herself under the persuasion of love. Love is more than a disposition of mind and a "readiness to serve": love is also "active service." That is the reason this love is compared to the persistent and penetrating cry of the "cuckoo-bird"; for it is equal to the continued effect of an initial resolution. Concentrating on the object of love by continuously rendering service tends toward division. The years continue, and the transitory beauty of youth fades away: only the echo of persuasive love continues above and beyond the succession of services. This symbolizes the active performance of *hsiu-hsing* (Jap.: *shugyō*),[66] the "religious practices" based on the five *pāramitās.* The tendency of such continuous practice, climaxed by the acquisition of "concentration" and "insight" (*chih-kuan*; Jap.: *shikan*,[67] the sixth *pāramitā*) brings the initial action of *hsiu-hsing* (Jap.: *shugyō*) into the nonaction of the total calmness, the boundless ocean of peaceful "equality." The hundred flowers wither in a manner similar to the flow of *dharmas* in the stream of becoming. The successive acts of perfection also wither, but the original voice of the resolutions continues indefinitely and becomes lost in the realm of indescribable purity and brightness, "into the endless depths beyond the rough peaks," into the mysterious abyss of *samādhi.*

From the standpoint of the enumeration of merits, this second stage represents an advance and a continuance of the first stage, though

this progress does not necessarily posit a dialectical contrary, as in the case of the *Chu-wei-sung* (Jap.: *Chikui no ju*). In addition, this circumstance must be noted: the first stage uses a symbol relating to an attitude which is properly that of the superior towards the inferior, while the second stage reverses the direction of "service" by symbolically implying the relationship of the inferior towards the superior. This counterposed use of symbolism contains a trace of the opposition between *cheng-chung-p'ien* (Jap.: *shōchūhen*) and *p'ien-chung-cheng* (Jap.: *henchūshō*). Despite the character of continuance in the line-up of merits, an interior parallelism, similar to the antinomic structure of the *Chu-wei-sung* (Jap.: *Chikui no ju*), is still noticeable.

Third Stanza

Chinese:

功

枯木花開劫外春
倒騎玉象趁麒麟
而今高隱千峰外
月皎風清好日辰。

Japanese:

Kō.

Koboku hana hiraku kōge[68] no haru
sakasama ni gyokuzō ni notte kirin[69] o ou,
jikon takaku kakuru sempō no hoka,
tsuki shiroku kaze kiyoshi kōnisshin.[70]

Translation:

Merit or *Achievement.*

When the withered tree bursts into bloom,
it is like a springtime of an unworldly era,
like one riding backwards on a jade elephant
and hunting the Ch'i-lin unicorn.
From this moment he disappears into the height
beyond the thousand pinnacles.
The moon is white [up there], the wind pure,
on a beautiful day at the hour of the dragon.

Commentary: This stage is the natural evolution of the preceding one, and it reaches the exact correspondence of having entered into the

realm of "equality" as presupposed by the third stage (*cheng-chung-lai*; Jap.: *shōchūrai*) of the first set of stanzas (*Chu-wei-sung*; Jap.: *Chikui no ju*). Entering the sphere of undifferentiation is considered the first fruit of "service" and, correspondingly, the initial yielding of "meritorious achievement." This is the first dynamic appearance of a fruit that will ripen in three consecutive stages of growth and development. Because the initial two stages involve only the attention and accurate cultivation leading to the yielding of such fruits, the proper line-up of meritorious achievements begins in the third.

This third stage is considered to be the peak of a gradual advance towards equality, the climax of a growing dissolution of difference and plurality, which began in the foregoing step, symbolized by the ever-continuing flight of the cuckoo bird into the misty horizon where the "rough peaks" lose the sharpness of their images and their visibility becomes blurred behind the depth of unlimited remoteness. The sphere of utter formlessness, in which every differentiation and duality fades away, is reached. In this sphere the common frames of logical thinking are broken into pieces; for this is a dimension with neither "up and down" nor "fore and aft." One has lost all sense of orientation and is no longer able to determine one's position, if only because every relative point of reference and even the possibility of "holding a position" have vanished. When the infinity of consciousness has expanded into the boundless extension of "emptiness," the mutual relationship that coordinates the "holder of a position" and the "position" itself vanishes. This is the moment (as exemplified by the "Ten Oxherding Pictures") in which both the "man and the ox" have disappeared from sight."[71] Only a bottomless chasm, which cannot even be said to be deep or high or wide, remains. Tung-shan, in a display of figurative poetry that does not merit Blyth's accusation of dryness, expresses this "loss of ground" in paradoxical language: "the dead tree brings forth flowers," "it is like an out-of-this-world spring," it is comparable to "the riding backwards [upon] an elephant of jade" and "hunting the mythological Ch'i-lin," which, in itself, symbolizes paradox and absurdity.[72] In this instance, irrationality must be interpreted as conveying the total "loss of reference" and the traceless disappearance of a platform on which "to situate" the plurality of things within the limits of a "sense-making" framework.

The actual features of such a region are beyond the variety of the "thousand pinnacles," where the brightness of the light is like the "whiteness of the moon" and the state of simplicity is compared to the "pure wind" flowing across the spotless sky at the dawn of a "beautiful day."

Fourth Stanza

Chinese:

共功
衆生諸佛不相侵
山自高兮水自深
千差萬別明底事
鷓鴣啼處百花新。

Japanese:

Kyōkō.
Shujō shobutsu ai-okasazu,
yama onozukara takaku, mizu onozukara fukashi;
sensha mambetsu nanigoto o ka akasu,
shako[73] naku tokoro hyakka arata-nari.[74]

Translation:

Collective achievement.
The many mortal beings and the buddhas
do not conflict with one another.
The mountains are by nature high; the waters are
deep of themselves.
What do ten thousand diversities and distinctions reveal?
Where the partridge cries, the myriad flowers bloom anew.

Commentary: The fourth stage represents the result of "going out" of equality and "returning to" the realm of diversity, in which things regain their sense of relativity again. But this acquisition is a "returning to" diversity as the functional aspect of "suchness" (*tathatā*) that attains fruition in a collective share of individual merits. The experience of utter purity and formlessness in the foregoing stage develops into a common background for the "ten thousand diversities." The cosmos unfolds in front of the one who has experienced such ecstasy: the "whiteness of the moonlight" in the cloudless sky of the morning reflects itself in complete harmony in the "suchness" of diversity. After achieving "individual merit" in *samādhi*, it deploys itself

into "ten thousand" harmonious reflections. Because the buddhas reflect their merits upon all mortals, no incompatibility between "mortals" and "buddhas" exists. Thereby the reality of "suchness" is apprehended as the reality of all *dharmas*, both "pure" and "tainted." This collective uniformity is plainly revealed by the diversity. Moreover, it is by virtue of this very uniformity that the mountains are high and the waters deep. "Suchness" is the "uniformity" that is manifested in a multitude of things that are "such" precisely by virtue of being "high" and "deep." That is the reason the fourth stage signifies a return to the intelligibility of things, but in a direction that leads to "super-intelligibility" as a nonoppositional oneness. The "hundred kinds of flowers" ("hundred acts of service"), which were seen to wither in the process of the gradual entrance into equality that began in the second stage, return to a full deployment of beauty in a diversity of merits shared with the totality of sentient beings. The poetical figure of the "*shiki* bird" brings an enchanting new song as a hymn to the indivisible miracle of existence, which is the FACT given in the colorful manifold of "the hundred flowers" or in the perfect sharing of merits. This is a functional aspect of *prajñā* (wisdom), which, though not yet synthesized into a reality of total "interinclusion," continuously and dynamically points towards the transcendence of all oppositions. This functional tending towards perfect interpenetration is the *raison d'être* of the *chien-chung-chih* (Jap.: *kenchūshi*, or *towards* the midst of both—equality and diversity) stage still maintaining its relation to the ultimate *chien-chung-tao* (Jap.: *kenchūtō*, or *in* the midst of both).

The fourth stage does not expressly imply the interweaving of both *cheng* (Jap.: *shō*) and *p'ien* (Jap.: *hen*) as a previous condition for a conception that posits a functional "coming to the center" of both (*chien-chung-chih*; Jap.: *kenchūshi*); and from this viewpoint, this stage of the *Kung-hsün wu-wei* (Jap.: *Kōkun goi*) could be interpreted rigorously according to Hui-hung's pattern, namely, as *p'ien-chung-chih* (Jap.: *henchūshi*), or "coming to the center of diversity." Yet no difference, however pronounced, will affect the lineal structure of the *Kung-hsün wu-wei* (Jap.: *Kōkun goi*), for it is primarily based upon the hierarchy of meritorious growth, rather than on the dialectical conflict between opposites and its resolution. In fact, whether or

not the fourth stage is taken to be *chien-chung-chih* (Jap.: *kenchūshi*) or *p'ien-chung-chih* (Jap.: *henchūshi*) is irrelevant, because this fourth stage paradoxically presupposes "going out" of equality, but "without leaving it." Also, this circumstance must be carefully noted when interpreting Ts'ao-shan's own versions of the Five Degrees.

It must be added that the "sharing," and therefore the "communication," of merits is based upon a new approach to the world of diversity. The simple fruit of *samādhi* (the third stage) multiplies itself into a cluster of innumerable seeds of mercy towards all beings. The multiple efforts of *hsiu-hsing* (Jap.: *shugyō*, or the second stage), which result in individual enlightenment (*p'u-t'i*; Jap.: *bodai*, or the third stage), *now* transform themselves into innumerable manifestations of mercy, by the implication of this "sharing of merit" among all sentient beings. This stage could be also called that of *fang-pien* (Jap.: *hōben*),[75] in which "all skillful devices" of merit are realized.

Fifth Stanza

Chinese:

功功
頭角纔生已不堪
擬心求佛好羞慚
迢迢空劫無人識
肯向南詢五十三。

Japanese:

Kōkō

Zukaku wazuka ni shō-zureba[76] sude ni taezu,
shin ni gi-shite Butsu o motomu yoshi shuzan subeshi,
chōchō-taru kūkō[77] hito no shiru nashi,
minami ni mukatte gojūsan ni tazunuru o ukegawan ya.

Translation:

Unsurpassed or *Absolute Merit.*

Scarcely have the horns on his [spiritual] head [begun
to] grow when they are already intolerable [to him].
If he [impatiently] seeks the Buddha by imagining in his heart
[what He is like],
he should be ashamed of himself.
The far-off Kalpa of Emptiness is something that no man
can know.

Let him decide to face Southward, there to question
the Fifty-Three [Buddhas].

Commentary: The perfect realization of truth, as envisioned in the act of *satori*, contains unsurpassable merit *par excellence*, absolute achievement, the total synthesis that unites both the "individual merit" (*kung*; Jap.: *kō*) of *samādhi* and the "collective merit" of "functional mercy" (*kung-kung*; Jap.: *kyōkō*) under the single reality of "suchness." This is "comprehensive merit," or "supermerit." This unsurpassable climax is the true aim of a *Bodhisattva.*

According to the stanza, a seeker of Buddhahood can easily go astray in his search. As soon as he develops some spiritual insight (the "horns growing in his head")[78] he becomes intolerably impatient. And in his impatience he tries to imitate the Buddha in the imperfect and immature way he wantonly imagines Him to be. The result will be to end up in a mere state of dead emptiness, similar to the void of the "eon of cessation," after the destruction of the present universe. This sheer emptiness is mere passivity and a *nirvāṇa*, which is the opposite end of *saṃsāra* but not *in* and *with saṃsāra.* To reach to "the top of the hundred-foot pole" (which represents the mere "emptiness" of a state of consciousness)[79] is not enough; for such "emptiness of the mind" (as excluding the "all-including" true emptiness) is like sinking into "stagnant water" with all the lime at the bottom. As Master Hsü-yün said, "One has to jump off of the top of 'the hundred-foot pole' into the real 'voidness' of suchness,"[80] into the absolute "emptiness" that is in the things and "*is*" the things. "Void" is not the result of "emptying" oneself of *dharmas* but is the very constituent of *dharmas.* Thus the text says, "No one knows about the very remote *kalpa* of emptiness," because *no one is in the kalpa of emptiness*, wherein everything disappears and there is nothing. Real apprehension of truth lies in entering the *dharmadhātu* of interpenetration (*shih-shih wu-ai fa-chieh*; Jap.: *jijimuge hokkai*), which is the *Tuṣita* (heaven) or the *Vairocana* tower of Maitreya that the *Gaṇḍavyūha* (or chapter "on entering the *dharmadhātu*" of the *Avataṃsaka Sūtra*) describes. The aspirant to Supreme Enlightenment (*Sudhana*), while heading towards the "South," begins a long pilgrimage during which Mañjuśrī directs him to visit a number of buddhas, equaling fifty-

three, whom he asks for their advice concerning the life of devotion. As a result, he is introduced into the *Vairocana* tower, the residence of Maitreya, which he discovers to be the abode of all *Bodhisattvas* and spiritual leaders who have attained total enlightenment. Within he sees himself in a world of total "interinclusion." All things are like the "jewels fastened to the net hanging in Śakra's palace," which continuously reflect one another:[81] since all things are void, they all interpenetrate and interact with one another (*shih-shih wu-ai*; Jap.: *jiji-muge*; or *chung-chung wu-chin*; Jap.: *jūjū-mujin*).[82] He obtains the "miraculous power of manifesting all the ranges of the *Dharmadhātu* within one single grain of dust."[83] In this realm individual realities are not destroyed, but are enveloped into one great reality, wherein each individual existence contains all other individual existences within itself.

This is the resumption of all functions (*ch'üan-yung*; Jap.: *zen'yū*) into one body (*chi-t'i*; Jap.: *sokutai*).[84] Things retain their sense in the world, although sense-making relationships are equivalent to the "void," which annuls all traces of opposition in relationship. No one ever has touched the *kalpa* of emptiness, though "asking the fifty-three" gives the concrete touch of a living reality; for it is this very reality which constitutes the ultimate achievement, the merit *par excellence* (*kung-kung*; Jap.: *kōkō*). Recalling Tsung-mi's words: "The one who has a taste of this world and runs through it freely is called the venerable and great enlightened one."[85]

Elucidation of the *Kung-hsün wu-wei* (Jap.: *Kōkun goi*) by Yüan-hsien.

In summary, the hierarchy of merits is as follows:

向	奉	功	共 功	功 功
HSIANG	*FENG*	*KUNG*	*KUNG-KUNG*	*KUNG-KUNG*
[Jap.: KYŌ]	[HŌ]	[KŌ]	[KYŌKŌ]	[KŌKŌ]
發心	修行	菩提	方便	涅槃
Fa-hsin	*Hsiu-hsing*	*P'u-t'i*	*Fang-pien*	*Nieh-p'an*
[Hosshin]	[Shugyō]	[Bodai]	[Hōben]	[Nehan]

The *Tung-shan Liang-chieh ch'an-shih yü-lu* (Jap.: *Tōsan Ryōkai zenji goroku*) relates numerous answers of Tung-shan in response to questions his disciples asked on the topic of the *Kung-hsün wu-wei*

(Jap.: *Kōkun goi*).[86] The extraordinarily enigmatic character of those responses was masterfully elucidated by Yüan-hsien. Because this elucidation is expected to shed new light upon the structure of the *Kung-hsün wu-wei*, I think it is worthwhile to include it here.

The questions, with Tung-shan's responses, appear as follows:[87]

Chinese:

1. 僧問，如何是向。
   師曰，喫飯時作麼生。
2. 云如何是奉。
   師云，背時作麼生。
3. 云如何是功。
   師云，放下钁頭時作麼生。
4. 云如何是共功。
   師云，色不得。
5. 云如何是功功。
   師云，不共

Japanese:

1. Sō tou: ikanaru ka kore kyō?
   Shi iwaku: kippan no toki somosan?
2. Sō iwaku: ikanaru ka kore hō?
   Shi iwaku: somuku toki somosan?
3. Sō iwaku: ikanaru ka kore kō?
   Shi iwaku: hoka kakuto no toki somosan?
4. Sō iwaku: ikanaru ka kore kyōkō?
   Shi iwaku: iro o ezu.
5. Sō iwaku: ikanaru ka kore kōkō?
   Shi iwazu: fukyō.

Translation:

1. The monk asks: What is the meaning of *hsiang* (intention)?
   The master says: What do you do when eating your meals?
2. The monk says: What is the meaning of *feng* (service)?
   The master answers: What do you do when you turn your back on your superior [and disobey him]?
3. The monk says: What is the meaning of *kung* (individual merit)?

The master answers: What do you do when you lay aside the mattock?

4. The monk says: What is the meaning of *kung-kung* [Jap.: *kyōkō*, or collective merit]?

The master answers: It is not having one color.

5. Question: What is the meaning of *kung-kung* [Jap.: *kōkō*, the merit of merit]?

Answer: Not shared!

In Yüan-hsien's words the answers of Tung-shan are elucidated as follows:[88]

> 1. 向 —"Turning towards" [*hsiang*; Jap.: *kyō*] means "to face" [*ch'ü-hsiang*; Jap.: *shukō*].[89] Surely the first thing one does is to know the existence [of a thing]; if one does not know the existence of such a thing, how can one turn towards it? When the master Tung-shan answers: "What do you do when you take your meal?" he means that even in the midst of daily doings, no matter whether one is moving or resting, one should not forget about it, even for [the short] time [that it takes to eat a meal].

Hsiang (Jap.: *kyō*) is equivalent to continuous self-application by "turning towards" something one wishes to attain. Only when one acquires knowledge of the existence of such a "reality" can one turn towards it and face it. In this instance, "knowing" (the existence of something) means the mere intentional, rather than experimental, knowledge about something one wants. The intensity of this uninterrupted intentionality is such that it never leaves one's thoughts, not even for the relatively short time that it takes to eat a meal. This is a classical Chinese simile, hoary with age, here being applied to a Buddhist context. A disposition to respond underlines this "intending attitude," which is remembered under all circumstances.

> 2. 奉 —[Yüan-hsien's text]: The word *feng* [Jap.: *hō*] means the same as *ch'eng feng* [Jap.: *shōhō*].[90] In this [religious] context, the first step is *hsiang* [Jap.: *kyō*], to be followed by *feng* [Jap.: *hō*], just as, in a secular context, one must first indicate to one's superior the proper attitude of respectful obedience,

for it is only then that one can receive a charge from him. No service can be rendered by a man who stands with his back to his superior (that is, who disobeys him). The religious counterpart of standing with one's back to one's superior would be succumbing to such external defilements as lust, for the man who does this is, in effect, turning his back on his proper religious duties.

For this reason Tung-shan answers, "What do you do when disobeying?" (that is, when standing with your back to your superior)." By way of contrast, through its opposite (as disobedience), Tung-shan draws the attention of his disciple towards the meaning of "service." The "service" as *hsiu-hsing* (Jap.: *shugyō*, or practice of perfections and austerities) implies also turning away from lust and other "external defilements."

3. 功 —[Yüan-hsien's text]: To grab the mattock [in order to work] is like "intending," that is, "disposing oneself" [*hsiang*; Jap.: *kyō*] and "serving" [*feng*; Jap.: *hō*]. Should one lay aside [*fang-hsia*; Jap.: *hōka*] the mattock, there would no longer be "intending" and "serving." By reason of achieving the result [*kung*; Jap.: *kō*] of the foregoing "intending" and "serving," one suddenly forgets [everything]; and that is why [Tung-shan says] it is like putting aside [or abandoning] the mattock.

The word *fang-hsia* (Jap.: *hōka*)[91] was adopted in Chinese Buddhism in order to signify "abandoning all relation to worldly affairs and entering the realm of egolessness"; hence, Tung-shan's liking for this word and his connecting of it with the simile of the mattock. The "holding of the mattock" symbolizes the "intention" and "realization" of "service," which also is dropped now by entering into the state of *samādhi* (*san-mei*; Jap.: *sammai*). Entering into *samādhi* is reaching "stillness" and "utter undifferentiation," which implies abandonment not only of worldly affairs in general, but even the cessation of the active service represented by the foregoing stage.

4. 共功 —[Yüan-hsien's text]: The first syllable in the word *kung-kung* [Jap.: *kyōkō*] indicates that the plurality of [good,

clean] *dharmas* arise in unison. Tung-shan declares that it is like "not having one color":[92] that is to say, in the previous stage, since all becomes of one singular color,[93] the totality of diverse *dharmas* conceal themselves. In the present stage, however, since even this one singular color undergoes total extinction, the result is that the various *dharmas* [totally] reemerge together, and they are not expected to become of one uniform color again."

In order to confirm the texts mentioned above, Yüan-hsien refers to the "going out" of the state of total undifferentiation, wherein the different things (*dharmas*) are not seen at all, due to their becoming all "of one singular color." This is the state in which the disciples are warned not to abide, or to view it as the final goal of enlightenment. The differentiations of the "*dharmas*" must manifest themselves again, though this time being viewed from the standpoint of absolute truth, which dispels the veil of ignorance and illusion. The *pien-chi* (Jap.: *henge*; Skt.: *parikalpita*) *dharmas*, no longer hidden under the illusory cloak of self-abiding substantiality (*shih-wo shih-fa*; Jap.: *jitsuga jippō*), are seen in their "provisoriness" and "emptiness" (*chia-yu shih-wu*; Jap.: *keu-jitsumu*).[94] Viewing the diversity of the *dharmas* in the unity of their ultimate nature and essential "voidness" entails the transference of merits, that is, the functional exercise of intercommunicatory *prajñā* and "universal mercy."

5. 功功 —[Yüan-hsien's text]: Now, as to the "merit of merits." The profundity of this merit, over and above all its predecessors, is the reason that it is called the "merit of merits." When Tung-shan says it is "not shared" [*pu-kung*; Jap.: *fukyō*],[95] this is because it is not common with anything now, whereas it had points in common [with other things] above. For here not only is it *dharmas* that are beyond reach [*pu-k'o-te*; Jap.: *fukatoku*; Skt.: *aprāpya*] but non-*dharmas* which are no less so. Everything [*dharmas* and non-*dharmas*, that is, being and nonbeing][96] is so intermingled [and fused together] that there is nothing to which to affix a name. Beyond this point, what is there to seek? [Differently worded, it could be] put like this: The Universal and the Particular[97] are so fused

[and interpenetrated] that there is no trace of where either is hiding, and *this very fact* is the end point of attainment of the Way. What quest can there possibly be beyond that? Yet [in spite of what has just been said] it is still called "merit" [or even "achievement"]. The reason is that, when viewed in the light of [the stages catalogued] above, it also is a part of the attainments of human faculties. This too is a [meritorious] "achievement."

This stage represents the height of all achievements, the reduplicated, "extraordinary" merit (*kung-kung*; Jap.: *kōkō*) or the "merit of merits." Here insight arises into the very essence (*parinişpanna*) of the multiple *paratantra*, into the one body of the multiple functional aspects of reality (*tathatā*), nevertheless without concealing them, as was done in the third stage. The "merits of merits" surpasses both the personal, or singular merit, and the collective, or plural merit; for this supermerit is neither singular nor plural, neither *dharma* nor non-*dharma*, neither *yu* (Jap.: *u*), nor *wu* (Jap.: *mu*); neither *pen* (Jap.: *hon*) nor *mo* (Jap.: *matsu*); it is not the positing of "something" that claims its opposite. This *extraordinary* merit consists in the perpetual manifestation and in the "ever coming" of "Suchness" as implied by the very term *Tathāgata* (*ju-lai*; Jap.: *nyorai*).[98] Final and absolute attainment of either extreme of "being" and "nonbeing" is impossible, because any ultimate attainment will affect their "voidness" (*k'ung*; Jap.: *kū*), which is in the absolute "middle" (*chung*; Jap.: *chū*) of their correlation (*yüan*; Jap.: *en*).[99] The absolute attainment of one extreme will necessarily include the attainment of the other on which their essential relationship depends. Thus, the *absolute* attainment of *only* one extreme becomes unthinkable, since it excludes attainment of the other extreme on which its own "provisory" being (*chia*; Jap.: *ke*) relies. This is the cornerstone of the *pratītya-samutpāda* doctrine of origination according to the *Mādhyamika*, whereby the attainment of truth lies in knowledge of the "absolute emptiness" of the relationship between *pen* (Jap.: *hon,* or priority) and *mo* (Jap.: *matsu,* or posteriority), *yin* (Jap.: *in,* or cause) and *kuo* (Jap.: *ka,*[100] or effect). This "absolute emptiness" is positively given in the total "interinclusion" of all extremes, in which attainment is total and the manifestation of "suchness" is exhaustive.

5

The Chün-ch'en wu-wei, or Five Degrees with Respect to Lord and Vassal, by Ts'ao-shan Pen-chi (Sōzan Honjaku)

Thus far the main examination has concerned the texts referring to the Five Degrees according to Tung-shan. The texts and stanzas that follow will deal with the conception of Tung-shan's disciple, Ts'ao-shan Pen-chi (Jap.: Sōzan Honjaku). The stanzas of the *Chün-ch'en wu-wei* (Jap.: *Kunshin goi*) are found in both texts, the *Fu-chou Ts'ao-shan Yüan-cheng ch'an-shih yü-lu* (Jap.: *Bushū Sōzan Genshō-zenji goroku*)[101] and in the *Fu-chou Ts'ao-shan Pen-chi ch'an-shih yü-lu* (Jap.: *Bushū Sōzan Honjaku zenji goroku*).[102] Before the poemlike, metaphorical formulations of the *Chün-ch'en wu-wei* in the typical form of stanzas, Ts'ao-shan tries to elaborate the concepts of *chün* (Jap.: *kimi*, or ruler, lord) as corresponding to *cheng* (Jap.: *shō*, or the "straight," equality) and the *ch'en* (Jap.: *shin*, or vassal) as depicting the *p'ien* (Jap.: *hen*, or the "twisted," diversity), and he tries to expose the basic relationship between them. The main traits of such an elucidation are as follows:

Chinese:

師曰。正位卽空界。本
來無一物。偏位卽色
界。有萬象形。正中偏
者背理就事。偏中正
者舍事入理。兼帶者
冥應衆緣 不墮諸有。
非染非淨。非正非偏。
故曰虛玄大道無著眞
宗。從上先德推此一
位最妙最玄。當詳審
辨明。君爲正位。臣爲
偏位。臣向君是偏中
正。 君視臣是正中
偏。君臣道合是兼帶
語。

Japanese:[103]

Shi iwaku, Shō-i wa sunawachi kūkai ni shite
honrai mu-ichimotsu nari; hen-i wa sunawachi shiki-
kai ni shite manzō no katachi ari. Shōchūhen to wa
Ri ni somukite JI ni tsuki; henchūshō to wa JI o
sutete RI ni iru. Kentai to wa myō ni shuen ni
ōzuru mo sho-u ni dasezu, zen ni arazu, jō ni arazu;
shō ni arazu, hen ni arazu. Yue ni kogen no daidō,
mujaku no shinshū to iu. Jūjō no sentoku wa kono ichi-i o osu,
saimyō saigen nari. Masa ni shōshin bemmei subeshi.
—Kimi o shō-i to nashi, SHIN o hen-i to nasu.
SHIN no kimi ni mukau wa kore henchūshō nari. KIMI
no SHIN o miru wa kore shōchūhen nari, KUN-SHIN-
dōgō wa kore kentai no go nari. . .

Translation:

The master said: The degree "straight" [or "proper"] is identical with the realm of "emptiness," wherein there is not, and never has been, anything [in particular]. The "biased" [or "lateral"] degree is identical with the realm of form, wherein there is a myriad of [particular] forms. [The proposition that] the *"biased" is contained within the "straight"* constitutes turning one's back on the universal and directing oneself toward the particular, while the opposite proposition constitutes a rejection of the particular and an entry into the universal. A "synthesis"[104] of both constitutes an unfathomable[105] correspondence with a multitude of objects without [at the same time] falling into [the notion of] individually existing [things or entities], [a realm, in other words, which is] neither tainted nor pure, neither straight nor biased. For this reason it is called the Mysterious Void,[106] the Great Way, the Unattached, the Real Principle. Our gifted and virtuous predecessors elevated this one degree to the level of the supremely subtle and supremely obscure. One should be absolutely clear about the following: The lord is the degree "straight" [or "proper"], while the vassal is the "biased" [or "lateral"] degree. When the vassal faces his lord, this is *the "straight" contained within the "biased"*; when

the lord faces his vassal, this is *the "biased" contained within the "straight."* When the paths of the lord and the vassal meet, this is what is meant by *"synthesis"* [*chien-tai*; Jap.: *kentai*].

As stated in this explanatory introduction to the five verses, Ts'ao-shan proposes the two opposite principles of *li* (the universal) and *shih* (the particular) and their resolution into one superior synthesis similarly to the original dialectic of Shih-t'ou Hsi-ch'ien (Sekitō Kisen) in his *Ts'an-t'ung-ch'i* (Jap.: *Sandōkai*).[107] He explicitly uses the symbols of the *chün* (Jap.: *kimi*) and *ch'en* (Jap.: *shin*), but without actual mention of the two intermediate steps of *cheng-chung-lai* (Jap.: *shōchūrai*), the third stage, and either *p'ien-chung-chih* (Jap.: *henchūshi*) or *chien-chung-chih* (Jap.: *kenchūshi*), as the fourth stage. This makes his first approach to the dialectic between *li* and *shih* even more similar to Shih-t'ou Hsi-ch'ien's speculation in the *Ts'an-t'ung-ch'i* (Jap.: *Sandōkai*). Therefore it is up to the reader of the text to investigate whether these two intermediate stages should be interpreted according to Hui-hung's principle, that is:

Third stage: *Cheng-chung-lai* (Jap.: *shōchūrai*): the "ruler" alone (from the midst of the "straight").
Fourth stage: *P'ien-chung-chih* (Jap.: *henchūshi*): the "vassal" alone (into the midst of the "biased").

or according to Yüan-hsien's interpretation:

Third stage: *Cheng-chung-lai* (Jap.: *shōchūrai*): the "ruler" alone.
Fourth stage: *Chien-chung-chih* (Jap.: *kenchūshi*): the "ruler" and "vassal" coming to meet one another.
Fifth stage: *Chien-chung-tao* (Jap.: *kenchūtō*): the "ruler" and "vassal" actually meeting together.

In his texts, Ts'ao-shan precludes any apodictic certainty in reference to the ultimate connotation to be given to the fourth stage. More probably than in Tung-shan's verses, the fourth stage is now meant to be *p'ien-chung-chih* (Jap.: *henchūshi*), that is, "'the vassal alone." In the presently available texts the inner formulation of his verses and the use of the character *p'ien* (Jap.: *hen*) instead of *chien* (Jap.: *ken*) seems definitely to favor Hui-hung's interpretation; for it is dependent

upon the greater congruency that Hui-hung displays in his explanation of the "five changes" of the hexagram *chung-li*, to which the *Pao-ching san-mei* (Jap.: *Hōkyō-zammai*) alludes.[108]

According to the foregoing introduction, it seems as though the first stage would imply a "relativization" that could be interpreted (eventually) as ontological "origination." However, it is more probable that it designates a mere perspective into the polluting action of *wang-fen-pieh* (Jap.: *mōfumbetsu*, delusive discrimination) and "attachment to *dharmas*," as opposed to the process of gradual purification, which is conducive to final enlightenment. Nevertheless, a twofold perspective is derived from the standpoint of enlightenment: no matter whether the aspect of reality stressed in the stages is "defilement" or "purity," the ultimate "nonduality" and "resolution" of both extremes will always remain as the common background for all stages. This seems to remain quite clear in the exponent's intention.

The following are the stanzas of the *Chün-ch'en wu-wei* (Jap.: *Kunshin goi*), with translations and commentaries:

Chün-ch'en wu-wei
(Jap.: *Kunshin goi*)

1. Symbolic representation: . "The lord looks at his vassal," or "equality becomes diversity."

Chinese:[109]

 白衣須拜相此
事不為奇。積代簪纓
者。休言落魄時

Japanese:
Byakue,[110] subekaraku shō[111] ni hai-subeshi
kono koto o ki to nasazu.
Sekidai shin-ei[112] no mono,
iu koto o yameyo, rakuhaku no toki.

Translation:

There is nothing wondrous [in the fact that] the servants have to offer unconditional reverence and service to the dignitaries [without protesting].

But also the man mustering in himself the honors of nobility should utter [no complaint] in the times of trial.

Commentary: The "ruler" (or lord) deigns to look down to his servant and thereby abases himself to the level of the inferior; and in a similar way the "equality" in this stanza is the "subject" of the "merging with the relative." In the formulation *cheng-chung-p'ien* (Jap.: *shōchūhen*), the expression of the subject "ruler" (or equality) is circumstantial. In "equality" or "*within equality*, there is diversity." In this case, "equality" is the principle explicitly meant, for "equality" is the point of departure and the angle of perspective for the active process of relativization (seen *mediately*). One reaches "equality," and "in there" he sees "the developing of diversity." This would correspond to "equality becoming diverse."

The symbolism of the stanza depicts "equality" as the common and "equal" lot that affects both the dignitaries and the servants. There is nothing wondrous in admitting that the inferiors or servants are unhappy with the humiliating role of subjection to their masters and by the lack of freedom. But the superiors or dignitaries are equally dissatisfied, because "unhappiness" unavoidably affects them in times of trial, sickness, and reverses (*lo-p'o-shih*; Jap.: *rakuhaku no toki*). "Voidness" is the equality underlying all relative phenomena; but within this "equality" the active relationship between the two extremes of "diversity" is always at work: the "dignitaries" are above; the "servants" below. In the common "emptiness" that is immanent to all worldly events, there is "above" and "below," "good" and "bad," "beautiful" and "ugly," "tall" and "short," "hard" and "soft," "wealth" and "poverty," and all the extremes that are included within the phenomenal realm of "diversity."

2. Symbolic representation: . "The vassal turns to his lord," or "diversity resolves into equality."

Chinese:

 子時當正位。明

正在君臣。未離兜率
界。 烏雞雪上行

Japanese:
Ne no toki shōi ni ataru,
shō o akasu wa kunshin ni ari.
Imada Tosotsu no kai[113] o hanarezu,
ukei[114] setsujō ni yuku.

Translation:
The level of the "straight" is [usually] compared to the hour of the rat.
But only the relationship of servant to lord discloses it.
Before the Buddha left the realm of the *Tuṣita* heaven,
there was a black chicken walking on top of the [white] snow.

Commentary: The level of the "straight" (equality) has been commonly equated to the sphere of total and dead emptiness. According to the fifth stanza of the *Kung-hsün wu-wei* (Jap.: *Kōkun goi*), the "straight" is also wrongly compared to the "*kalpa* of void," wherein there is nothing and which "no man can know" (see p. 149). The present stanza uses the "hour of the rat" (between 11:00 P.M. and 1:00 A.M., the time of deep sleep) in order to illustrate the false and deceiving tendency to portray the realm of the "straight" (equality) as a state of total cessation and passivity. In order to emphasize the dynamic and positive character of this level, the stanza resorts to the living relationship between servant and lord. Service to the lord, essential to this relationship, *makes clear* (*ming*; Jap.: *akasu*) and *reveals* the very essence of the "straight." The plurality of the "biased" resolves itself into equality (the "straight") without ceasing to be plurality, as the servant, in his plural and various efforts to serve the master, resolves his many "serving" activities into the unity of his undivided attention to the master, without ceasing to serve him.

As if to reinforce its stand, the stanza makes a sudden change of

metaphor. The symbolism that expresses the proper resolution of "diversity" into "equality" is conveyed by the figure of the "*black* chicken" walking on top of the undifferentiated immensity of the *white* snow, a figure that directly reminds us of the circular diagram representing this stage, which shows black at the bottom and white on the top.

This proper resolution of "diversity" into "equality" was happening even "before Buddha was said to have left the *Tuṣita* heaven" of the *Bodhisattvas* to enter absolute *nirvāṇa.* The formal and definitive resolution of plurality into unity without ceasing to be plurality is the realization of *nirvāṇa* itself, the *nirvāṇa* that is not beyond *saṃsāra,* but yet is together with and in *saṃsāra*; this is the realization of equality that does not vitiate diversity but enhances and sublimates it into the state of "one-in-all" and "all-in-one" that is illustrated by the jeweled net in the Jetavana tower, described by the *Gaṇḍavyūha.*[115] Thus the basic togetherness and transcendental identity between *li* and *shih*, "ideality" and "reality," is stressed once again.

3. Symbolic representation: . "The lord alone," or "abiding in equality."

Chinese:

⊙ 焰裡寒氷結。楊
華九月飛。泥牛吼水面。
木馬逐風嘶

Japanese:
Enri ni[116] kampyō musubi,
yōki kugatsu ni tobu.
Deigyū suimen ni hoe,
bokuba kaze o ōte inanau.

Translation:
Ice congeals within a flame,

while willow blossoms fly about in the ninth month.[117]
The cow made of mud bellows on the surface of the water;
A wooden horse neighs towards the wind.

Commentary: When one overcomes rational thinking and enters the realm of the mental void in the ecstasy of undifferentiated consciousness, wherein all duality and diversity lose their meaning, the place into which "the ox and the man have disappeared from sight"[118] has been reached; the organizing, coordinating role of logical thinking has vanished, leaving the objects of the outer world to themselves and to their own disorderly turmoil.

The use of paradox and irrationality in this stanza is even more conspicuous. All four verses of the stanza point to the abrogation of logical order; the "identity of all things" is brought under the light of total undifferentiation. "Cold ice" and "hot flame" dissolve into the same thing. "The blossoms of the willow" may bloom in the autumn (the ninth month) because the span between "spring" and "autumn" dissolves in the timelessness of absolute "stillness." This is reminiscent of the third stage of Tung-shan's *Kung-hsün wu-wei* (Jap.: *Kōḳun goi*) wherein the dead tree's bringing forth blossoms in the spring is analogous to the one "riding backwards on the jade elephant and hunting the *ch'i-lin* unicorn."[119]

A "cow made of mud bellows on the surface of the water" is as absurd a proposition as a "wooden horse neighs towards the wind." It is comparable to departing from the exercise of thinking and from all objects and their meanings. Aims and coordinations disappear into the abyss of utter recession, as is believed to occur in the "storehouse consciousness" (*ālayavijñāna*), where all potential seeds recede into a latent state as the impressions or perfuming (*hsün-hsi*; Jap.: *ḳunjū*) of a silent universal "memory" (*smṛti*) in the state of nondevelopment. Although undifferentiation characterizes this recessional state of the *ālaya*, the accumulation of potential *bīja* (seeds) that constitutes a new capability of the "activating agency" (*smṛti*, or mindfulness) remains latent; for it is similar to the "*ḳalpa* of the void" wherein there is nothing but pure and bare potentiality, ever ready to begin the process of differentiation anew. The symbolic "black circle" surrounded by a "white ring" alludes to the attainment of a center of "equality" and is

conceived of as enveloped by its pleroma of infinite potentialities. Thereby the essential "being-together-ness" and the "identity" between equality and relativity are emphasized once again, although in a different way: in the former stage, "equality" is actively considered as the very scope and resolution of "relativity," whereas in the present stage, "equality" is considered in itself, and only an indirect reference is made to its potentiality "to emerge anew into diversity."

In naming the ice with the flame, the flowers with the blooming, the mud cow with its bellowing, and the wooden horse with its neighing, the inner capabilities of the ice to be cold and the flame to be hot, of the flower to bloom in the spring and not in the fall, of the real cow to be able to bellow, of the real horse to be able to neigh, and of the "mud" and "wood" to be shaped into a horse or a cow are correctly emphasized. From the "subliminal" accumulation of karmic potencies brought under the one-colored veil (*i-se*; Jap.: *isshiki*)[120] of sheer formlessness, the outgrowth of rational schemes of a discriminated world is envisioned.

4. Symbolic representation: . "The vassal alone," or "abiding in diversity."

Chinese:

 王宮初降日。玉

兎不能離。未得無功

旨。人天何太遲

Japanese:
Ōkyū ni hajimete kudaru no hi,
gyokuto o hanaruru koto atawazu.[121]
Imada mukō no mune o ezaru ni,
ninden nanzo hanahada osoki.

Translation:

The sun first setting on the royal palace

cannot rid itself of that "jade hare" [the moon].
Why on earth are those men and gods so late,
when they have not even got an imperial command?

Commentary: The sun is the source of light, generating discrimination. It is of value to recall the first stage in Tung-shan's *Chu-wei-sung* (Jap.: *Chikui no ju*). The present stanza describes the very moment that the sunshine has displayed the infinite variety of our outer world, symbolized by the sumptuous compound of the royal palace. All is difference and variety in this picture: the emphasis has been placed directly upon the fact of "discrimination" being "such." There is no explicit intentionality "towards equality" or "active resolving" into it. The "black chicken" of the second stage represented the motion of "walking" towards the horizon of undifferentiation (the snow). The fact of "going towards" without "having previously left" enhanced the everlasting "being-in-each-other-ness" which was ontologically presupposed in the pure epistemic "movement towards absoluteness."

Here the sheer fact of "diversity" is stated as explicit: "coming into the midst of diversity" seems to constitute the primary contention of this verse. Nevertheless, there is a clear reminder that "diversity" in itself carries a perpetual and never-receding sign of "equality." The "functions," in their "functioning," bear the ever-underlying presence of the "body" (substance). When the sun (the symbol of diversity) rises in the morning, the moon is still visible in the sky; for the moon is the remaining trace of the past night (the symbol of equality).

According to the literal structure of the stanza, mention of the "moon" as representing the vestige of the past night of "equality" does not seem to favor Yüan-hsien's theory of "moving toward the midst of both equality and diversity." Such an allusion to the traces of the night in the midst of daylight appears as an indirect connotation of equality and does not seem to imply the actual and "face-to-face" encounter as implied by Yüan-hsien's theory. This circumstance (of the presence of the moon as symbolizing an underlying equality) seems to point to the transcendental identity between "the seeming and the real" and to the necessary connotation to "absoluteness" that the very fact of "relativity" supplies in itself. Thereby the affirmation

of "relativity" necessarily posits the *reductio ad absurdum* of a "*pure* and *sheer* relativity." In the same manner the previous stage unavoidably conveys the *reductio ad absurdum* of "*pure* and *sheer* absoluteness." "Pure relativity" and "pure absoluteness" are mere abstractions, though both point towards the suprarational, universal concreteness of *prajñā*, which is given by the fifth stage: "The lord and the vassal meeting together."

In short, the "stillness" of *nirvāṇa* coexists with discriminative "expansion" (*prapañca*). The presence of *nirvāṇa* in all aspects of daily life makes it the most commonplace of all things. For the enlightened person, no heavenly descriptions of *nirvāṇa* from above are necessary: for him, *nirvāṇa* is also below. In this sense, there is no excuse for "men and gods" coming "too late" to instruct us about the character of *nirvāṇa* from above, when they do not even have a real command from "above" to instruct us. The idea seems to be that anyone coming with a message from "above" is a deceiver and not the real Buddha or *Tathāgata* (Thus-Come One), who does not bring any message from somebody "beyond" but is himself the direct manifestation of thusness, here and now. For the ones who have realized this truth, those "men and gods" come "too late," in any case.

5. Symbolic representation: ●. "The lord and the vassal meet on the road," or "the merging together of equality and diversity."

Chinese:

● 混然藏理事。眹
兆卒難明。威音王未
曉。彌勒豈惺惺。

Japanese:
Konzen to shite ri-ji o zōsu,
chinchō niwaka ni akirame-gatashi;[122]

Ionnō[123] imada akezaru ni
Miroku[124] ani seisei taran ya.

Translation:

When the universal and the particular have been packed away in a jumble,
even telltale signs of them cannot be discerned.
When *Bhīṣmagarjitasvara-rāja* has not yet dawned,
how can you expect *Maitreya* to be awake?

Commentary: The ultimate identity between *li* (the universal) and *shih* (the particular), which has been shown to underlie all opposite angles of reality (as seen from the four previous standpoints), becomes totally manifest in this last stage.

The first of the contrasting pairs (first and second stages) represents reality as "outgoing" into relativity or "merging" into absoluteness. Nevertheless, the "outcome" of both contrasting directions in the evolution of reality is neither "pure relativity" nor "pure absoluteness"; the third and fourth stages uncover this truth by implementing a double *reductio ad absurdum* whereby "absoluteness" and "relativity" bear upon one another as mutually implying themselves by the very act of "opposing" each other. Thus, mind returns to the basic truth of "suchness" as held in the *Tathāgata-garbha.* When overcoming the points of contrasting perspective, all possible angles that envisage reality fuse together and the perspectives disappear. In the bosom of the *Tathāgata-garbha* (Chin.: *ju-lai-tsang*; Jap.: *nyoraizō*) there are no perspectives: *li* and *shih* are seen as one and the same reality of "*śūnyatā*," the absolute "voidness," which implies the "relativity" of *prapañca*, the "absoluteness" of *upaśama*, and (albeit paradoxically) the "*absoluteness of prapañca and 'relativity' of upaśama.*"[125] There is a perfect fusion of extremes, while preserving the determinations of essences. This is the real "*dharma* world" of existence. The past includes the future in the very moment in which all signs of opposition have become "suddenly" indistinguishable. In order to know *Maitreya* (the Buddha of the future) one must first know the King Ion—*Bhīṣmagarjitasvara-rāja*—(as representing the past) and vice versa; the opposite signs of their "one-pointed-ness" bear the ultimate, neverpassing reality of "comprehensive manifestation." Thus, the black

circle would point to the nondiscrimination or "nondistinction" within the comprehensive form of "interinclusion."

The total scheme of this interpretation of Ts'ao-shan's verses, according to Hui-hung, comprehends two pairs of opposite standpoints:

1. posits the actions of
   (a) going out (toward diversity)
   (b) coming in (into equality)



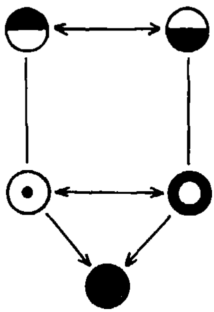
2. implies the impossibility of
   (c) abiding in sheer equality
   (d) abiding in sheer diversity



3. reveals their unsurpassable, fundamental, "being-in-each-other-ness":



The scheme would adopt the following shape:



This scheme will be partly confirmed by the exposition of the second set of stanzas by Ts'ao-shan in his *Wu-wei chih-chüeh* (Jap.: *Goi shiketsu*).

6

The Wu-wei hsien-chüeh, or Manifestation of the secret of the Five Degrees, and the Wu-wei chih-chüeh, or Secret Meaning of the Five Degrees, by Ts'ao-shan

The *Wu-wei chih-chüeh* (Jap.: *Goi shiketsu*) partly confirms the structure of the foregoing *chün-ch'en* (Jap.: *kunshin*, or lord-vassal) scheme. We say "partly" because the *Wu-wei chih-chüeh* (Jap.: *Goi shiketsu*) is much simpler in dialectical content. Nevertheless, the "being-in-each-other-ness," or the essentially correlative aspects of the extremes in each confronting pair, which is demanded by the essential interpenetration of principles, is explicit. The relationship between *cheng* (Jap.: *shō*) and *p'ien* (Jap.: *hen*) (the straight and the biased) is stated by the first pair of opposites, involving "diversity" *in* "equality" and "equality" *in* "diversity." However, the dynamic aspect of "expansive origination" and its "reversion into stillness" does not seem to be stressed specifically in these verses. The first pair of opposites (first and second stages) point to the aspects of equality connoting diversity, and diversity connoting equality, and thereby drops further specifications. The second pair (third and fourth stages) defines the merely notional stages of "pure equality" and "pure diversity" without revealing their intrinsic impossibility.[126] Nevertheless, the fifth stage is the expression of reality (*tathatā*), which, by being both the "coming" and the "going" of appearance, includes a realm of ever-unchanging and living FACT, namely: the "ever-thus-coming of suchness" (*Tathāgata*); this very FACT bears within itself the "utter relativity" of the "dependent origination" which, in its turn, connotes the very "absoluteness" of the void.[127]

It seems that the five statements of the *Wu-wei chih-chüeh* (Jap.: *Goi shiketsu*) (this time written in prose and not in stanzas) are closely connected with another, probably earlier, explanation given by Ts'ao-shan under the title of *Wu-wei hsien-chüeh* (Jap.: *Goi kenketsu*) (also in prose), in which the master runs into high speculation by interplaying the terms "worded" (*yu-yü*; Jap.: *ugo*) and "nonworded"

(*wu-yü*; Jap.: *mugo*).[128] Herewith he again elucidates the impossibility of positing one extreme without the other necessarily being connoted: all efforts in the quest for *utter* "oneness" as contrary to *utter* "plurality" occur as long as one does not stop discerning the "worded" and "nonworded" and the meaning of such extremes as "being" and "nonbeing." Since I cannot help seeing a foreword and a true preface to the *Wu-wei chih-chüeh* (Jap.: *Goi shiketsu*) stanzas in the *Wu-wei hsien-chüeh* (Jap.: *Goi kenketsu*), I have decided to quote the entire text in English translation:

Text of the *Wu-wei hsien-chüeh* (Jap.: *Goi kenketsu*),[129] or
Ts'ao-shan's Clear Determination of the Five Degrees

The degree "straight" is actually a "biased" one. If one discerns it in terms of its "biased" quality, then it harmonizes two senses. At times it has features that come from the degree "straight"; these are *the worded in the midst of the wordless.* At times it has features that come from the "biased" degree; these are *the wordless in the midst of the worded.* [And] at times it has features that arrive [or appear as] with both bound together,[130] [as in a synthesis]. Within this scheme one does not speak of "worded" and "wordless" [any more]. Within this scheme one has but to face [the fact itself of the synthesis] and then pass on [to daily business].[131] Within this scheme there cannot but be shift and change, for in the very nature of things there *must* be shift and change.

Yet words [used] in the course [of everyday worldly business] are all unhealthy, so that a man engaged [in this business] must with discernment get [the point of] the words and phrases, then face forward and pass on [to other business].[132] The "worded" may come and the "wordless" may go.[133] It is not that there are no words [used] among the [enlightened] writers, it is that they are not concerned either with the "worded" [alone] or the "wordless" [alone]. This is called "binding" [the worded and wordless] as in a single sash [as though in synthesis], so that they cannot in any way be distinguished [from one another].[134]

Commentary: There are aspects of reality that can be "worded,"

that is, put into words, whereas there are other aspects to it that defy expression and cannot be "worded." The contention of the text is that there is nothing that can comprehensively be thought to be completely expressible or inexpressible. That is why *the degree "straight" is itself a "biased" one*; after all, "straight" is a word, and every word is biased. The use of words, on the other hand, is neither ultimately conclusive about truth, nor ultimately reprehensible and to be rejected altogether. In the final analysis, truth will be in the utterance of the *expressed-inexpressible.* The sounds of *Kan!* and *Katsu!* as used by Yün-men and Lin-chi, and the ample wealth of the *Kung-an* (*kōan*) accounts and *Zen* stories will be concrete examples of the final unity between the "worded" and the "wordless."

The expression that "*there is the wordless in the midst of the worded*" is equivalent to saying, "in the *prapañca* (manifestation or utterance) there is *upaśama* (stillness)." In Nāgārjuna's conception, one cannot look into the essence of relativity without peeping into the abyss of its absolute "void," and vice versa. By looking into the core of the "word," one sees its essential transcendency, insofar as its ultimate becoming transcends the sheer utterance of its sound. The sound of a word is bound to the momentary limits of external form, though in its essence there exists the eternal freedom of the "superword." By uttering the "word," one "comes" to the form; but the correct insight into the "word's" essence is similar to "leaving" again the narrowness of the form. The "word" is like "coming to the form," whereas the "nonword" corresponds to "leaving the form." In *cheng-chung-p'ien* (Jap.: *shōchūhen*, or the first stage) there is "coming to the form"; and in *p'ien-chung-cheng* (Jap.: *henchūshō*, or the second stage) there is "leaving the form." This is the reason why *cheng-chung-p'ien* (Jap.: *shōchūhen*) means *attaining to the "worded" that is "in the nonworded"*; and *p'ien-chung-cheng* (Jap.: *henchūshō*) signifies *attaining to the "nonworded that is in the worded."*

However, the one who speaks "words" through inspiration, which is analogous to the enlightened writer of the *sūtras* and the *Zen* instructions, speaks from a superior level, the level of total synthesis (*chien-tai*; Jap.: *kentai*), wherein the "word" and the "nonword," the "form" and the "void," the "coming" and the "going," the "external appearance" and the "inner essence" are one and the same reality.

This "superior state" of synthesis (*chien-tai*; Jap.: *kentai*) is the level wherein the "oppositions," not the reality of the things themselves, disappear. The *Zen* writer, while "wording" from this level, does not remain silent, though his words do not merely flow in a flatulent stream of temporal succession; they are also all at once uttered in the nonsuccessive sameness of an eternal, wordless infinitude.

The text, the translation, and the commentary to the *Wu-wei chih-chüeh* (Jap.: *Goi shiketsu*, or Last words on the meaning of the Five Degrees) follows:

1. In "equality" there is "diversity."

Chinese:

心機泯絶色空俱忘
到頭無諱曾無變動。
更無覆藏全體露現
是曰正中偏。

Japanese:
Shinki binzetsu shite shikkū tomo ni mōzu,
tōtō imu koto naku katsute hendō nashi,
sara ni fukuzō naku zentai rogen su,
Kore o shōchūhen to iu.

Translation:

When thought and operations of the senses have been submerged and arrested, then both the material form and the void are forgotten [and concealed]. Ultimately it cannot be put in words: [it is as though] no change and motion has ever taken place. [Nevertheless], there is no [possible and perpetual] concealment, for the whole substance of reality becomes again [totally] manifest. This is called "*the biased in the midst of the straight.*"

"Equality" is the realm wherein the mind becomes motionless and empty. Everything is obliterated from consciousness in this experience

of the void: it is the realization of the "wordless." This mental silence, however, does not reveal the wholeness of substance and its function, which identifies "void and form," "silence and utterance." The total body of truth is contained neither in obliteration nor in concealment. Within the immutable horizon of "equality," "true thusness" manifests its total reality through the chain of causation (*sui-yüan*; Jap.: *zui-en*),[186] and as such appears again to the mind, when the latter returns to diversity from its journey to the realm of "equality." It must be said then that *there is the "worded" in the "wordless."*

2. In "diversity" there is "equality."

Chinese:

山是山。水是水。無人
安名字。無物堪比倫。
是曰偏中正。

Japanese:
Yama wa kore yama, mizu wa kore mizu,
hito to shite myōji ni yasunzuru mono naku,
mono to shite hirin ni taeuru nashi,
kore o henchūshō to iu.

Translation:

Mountains are mountains, and rivers are rivers; no man is secure with [the use of] names, and no thing can be classed [by them; that is, by names]. This is called "*the straight in the midst of the biased.*"

Commentary: In the world of discrimination things (like mountains and rivers) differ from one another: thus the deluded mind applies names to them. The man of insight, however, is not content to believe that one attains truth by the mere utterance of words and names. "Diversity" as such and by itself is "vain talk" (*hsi-lun*; Jap.: *keron*; Skt.: *prapañca*). The "word" implies external diversity, but

the "suchness" of things connotes the infinite freedom of the "inside." One cannot chain this inner essence to any external wording; from this standpoint, any effort to define reality will be futile and will end in complete failure. It must then be said that *there is the "wordless" in the midst of the "worded."*

3. "Coming from the middle of equality."

Chinese:

淨裸裸赤洒洒。面目
堂堂。盡天盡地。獨尊
無二。是曰正中來

Japanese:
Jō-rara, shaku-shasha, memmoku-dōdō,
jinten-jinji dokuson muni naru,
kore o shōchūrai to iu.

Translation:
Stark naked and scrubbed clean,
of majestic appearance, throughout heaven and earth,
it alone is exalted and unmatched. This is
called "*emerging from the midst of the straight.*"

Commentary: To abide in mental silence is to attain to the "wordless." One sees the purity of the "ecstatic" apprehension of the "void." This is the level of the "mysterious reality" (*miao-yu*; Jap.: *myō-u*)[136] relative experience, even if it is the greatest among many, that is, it is wherein the notional aspect of utter purity is seemingly realized as a cloudless sky in an empty consciousness. There is no trace of defilement on this boundless ocean of formlessness. This experience is called the greatest and the first of all experiences. It is, however, at the top in a gradual series, but not yet the comprehensive one, which is not first, not second, and not last. That is why the stage proposes this

experience as something one has abided in and is already coming from, as though trying to emphasize that it is not ultimate and that it has to be eventually superseded. This is abiding in the "wordless" alone.

4. "Arriving at the middle of diversity."
Chinese:

。宛 如 寰 中 天 子。 不 借
禹 湯 堯 舜 令 眼 見 耳
聞 終 不 借 他 力 耳 之
不 人 聲 中。聲 之 不 塞
耳 根 裹 頭 才 轉 身 塵
中 未 帶 名。是 曰 偏
中 正。

Japanese:
En to shite kanchū no Tenshi no gotoshi
U, Tō, Gyō, Shun[137] no rei o karazu.
Manako ni mi, mimi ni kiku,
tsui ni tariki o tayorazu.
Mimi no shōchū ni irazaru,
koe no nikon o fusagazaru wa,
katō[138] ni wazuka ni mi o tenzuru nomi ni te,
jinchū[139] ni imada na[140] o taisezu.
Kore o henchūshi to iu.

Translation:

It is quite like the Son of Heaven within his realm, who need not borrow the edicts of Yü or T'ang, of Yao or Shun, for, as His eye can see and His ear can hear, He need never borrow the power of another.

[The fact that] the ear does not enter into the midst of the sound, and that the sound does not block the ear, [is proof that] the body can wrap itself in a *kuo-t'ou* garment without acquiring a name in the world's midst [that is, one can be in the world while not being of it]. This is what is meant by "arriving at the midst of the biased."

Commentary: As stated in the previous stage (the third), one

cannot forever stay within the "wordless" and "formless" alone; this momentary stage of utter "oneness" is itself directed towards a new resolution in the "worded" and the "form"; thus the previous stage was called "emerging from the midst of the straight" in order to emphasize the essential directionality of utter "oneness" towards diversity and plurality. In the present stage this new emerging into the diversity that makes up the worldly (and "worded") reality of everyday's experience is expressed in terms of the *very directionality* that "diversity" itself has towards "identity" and "oneness." Now, the "biased," that is, the "worded" or the "diverse," is experienced in its true nature, namely, as not impeding the very effect of the experience of "oneness" and the "wordless."

The eye can see and the ear can hear on their own, by relying on their different capabilities: the harmony in which these different faculties cooperate in bringing about our daily sensations and perceptions of the world can only be perturbed by our ignorant and selfish attitudes. The sound does not block the ear, and the ear does not interfere with the nature of the sound; in the same manner the natural body can go on with the handling of daily business without becoming entangled in the warp of false discrimination, attachment, and all the blinding effects of ignorance. This is the proper way of abiding by the "worded," which takes place only after "coming out from the realm of the *wordless*" as it took place in the previous stage.

5. "Reaching the midst of both (equality and diversity)."

Chinese:

不是心。不是境。不是
事。不是理。從來離名
狀。天眞忘性相。是曰
兼中到

Japanese:

Kore shin narazu, kore kyō narazu,
kore ri narazu, kore ji narazu,
Jūrai, meijō o hanare,
tenshin, shōsō o wasuru,
kore o kenchūtō to iu.

Translation:

It is not the mind [subject]; it is not the world [object]: it is not the universal; it is not the particular. It has been always beyond description. [True] natural reality knows no distinction between essence and appearance. This is called *"reaching the midst of both"* (*the straight and the biased*).

Commentary: The purity of the third stage represented the mere mental void realized within the mind; it was mind reduced to utter silence: the "wordless." This "subjective" purity of conscious "blankness" can be negatively described as opposed to and outwardly related to the "otherness" of the "objective" diversity of the world. But *chien-tai* (Jap.: *kentai*),[141] the self-related, self-explaining superzone of reality, defies all attempts at description. This "superzone" of true, natural reality, as a further designation for the *Tathāgata-garbha*, serves the dual purpose of *li* (the universal) and *shih* (the particular) without the least trace of contradiction. It is the "true infinite" propounded by Hegel and foreshadowed by the *Awakening of Faith*. There is no disappearance or draining of phenomena in this realm; in the pleroma of exhaustive manifestation the body of reality is in its total plenitude. The only one indescribable trait of this wonderful realm is that the phenomenon and the real (noumenon) constitute a perfect identity. There is no difference between the manifold of appearance and the continuous self-identity of the essential. This is the *Hua-yen* world of *li-shih wu-ai* (Jap.: *riji-muge*),[142] wherein the "form" is as equally the "void" as the "void" is the "form." "Word" and "nonword" are but the discriminative mind-aspects of perfect identity-in-itself.

Notes

1. 五 位 , or *wu-wei.*

2. The two quintets of stanzas by Tung-shan (Tōzan), the *"Chu-wei-sung"* (Jap.: *Chikui no ju*) and the *"Kung-hsün wu-wei sung"* (Jap.: *"Kōkun goi no ju"*) are taken from the *Tung-shan Liang-chieh ch'an-shih yü-lu* (Jap.: *Tōsan Ryōkai zenji goroku*) (*Taishō daizōkyō,* vol. 47, no. 1986). Ts'ao-shan's (Sōzan) texts, namely the *"Wu-wei chün-ch'en"* (Jap.: *Goi kunshin*) and the *"Wu-wei chih-chüeh"* (Jap.: *Goi shiketsu*) are quoted from the *Fu-chou Ts'ao-shan Yüan-ch'eng ch'an-shih yü-lu* (Jap.: *Bushū Sōzan Genshō-zenji goroku*), in *Taishō daizōkyō,* vol. 47, no. 1987; and from the *Fu-chou Ts'ao-shan Pen-chi ch'an-shih yü-lu* (Jap.: *Bushu Sōzan Honjaku zenji goroku*), in *Taishō daizōkyō,* vol. 47, no. 1987. The *Jen-t'ien yen-mu* (Jap.: *Ninden ganmoku*) contains also the stanzas mentioned above (*Taishō daizōkyō,* vol. 47, no. 2006).

3. Commentaries by the masters Chi-yin Hui-Hung (or 寂 音 慧 洪 ; Jap.: Jakuon Ekō, twelfth century), and Yung-chüeh Yüan-hsien (or 永 覺 元 賢 ; Jap.: Eikaku Genken, 1578–1657) will be quoted in Japanese translation from the vast Buddhist encyclopedia by Mochizuki Shinkō, *Bukkyō daijiten,* s.v. *"Tōzan goi,"* 4:3864–3869. The Chinese original texts are recorded in the *Jen-t'ien yen-mu* (Jap.: *Ninden ganmoku*) (see above, note 2 of part 3).

4. 正 (or *cheng*; Jap.: *shō*) and 偏 (or *p'ien*; Jap.: *hen*).

5. 正 偏 回 互 , or *cheng p'ien hui hu.* Synonyms of 正 (or *cheng*; Jap.: *shō*) are:

- 淨 (or *ching*; Jap.: *jō,* or purity) or 靜 (or *ching*; Jap.: *jō,* or quiescence, tranquility).
- 體 (or *t'i*; Jap.: *tai,* or body or substance).
- 空 (or *k'ung;* Jap.: *kū,* or void).
- 理 (or *li*; Jap.: *ri,* or ideal principle).
- 平 等 (or *p'ing-teng*; Jap.: *byōdō,* or equality).
- 絶 對 (or *chüeh-tui;* Jap.: *zettai,* or absolute).
- 本 覺 (or *pen-chüeh*; Jap.: *hongaku,* or original knowledge).
- 眞 如 (or *chen-ju*; Jap.: *shinnyo,* or suchness).

Synonyms of 偏 (or *p'ien;* Jap.: *hen*) are:

- 染 (or *jan*; Jap.: *zen,* or defilement) or 動 (or *tung*; Jap.: *dō,* or motion).
- 用 (or *yung*; Jap.: *yū,* or function).
- 色 (or *se*; Jap.: *shiki,* or visible matter).
- 事 (or *shih*; Jap.: *ji,* or concreteness).
- 差 別 (or *ch'a-pieh*; Jap.: *shabetsu,* or diversity).
- 相 對 (or *hsiang-tui*; Jap.: *sōtai,* or relative).
- 不 覺 (or *pu-chüeh*; Jap.: *fukaku,* or no knowledge).
- 生 滅 (or *sheng-mieh*; Jap.: *shōmetsu,* or origination and decay).

6. 君 (or *chün*; Jap.: *kun,* the lord) and 臣 (or *ch'en*; Jap.: *shin,* the vassal).

7. 五位說 (or *Wu-wei shuo*; Jap.: *Goi no setsu*), or the Five Degrees Doctrine.

8. *Shih-t'ou Hsi-ch'ien* (Jap.: Sekitō Kisen, 700–790), is an immediate disciple of Ch'ing-yüan Hsing-ssu (Jap.: Seigen Gyōshi), the head of the line, which the Ts'ao-tung (*Sōtō*) school stems from. His work *Ts'an-t'ung-ch'i* (Jap.: *Sandōkai*) speculates mainly on the oppositional poles *shih* (concrete things) and *li* (ideal principle) and their resolution into a superior oneness, or 靈源 (or *ling-yüan*; Jap.: *reigen*). See Blyth, *Zen and Zen Classics*, vol. 2, *History of Zen*, p. 3.

9. See note 8 of part 3.

10. This dialectic is contained in the Three Great Truths of the *T'ien-t'ai* (Jap.: *Tendai*), philosophy: 空 (or *k'ung*; Jap.: *kū*), or "void"; 假 (or *chia*; Jap.: *ke*), or "provisional character" (of relative beings); 中 (or *chung*; Jap.: *chū*), or "middle." The thesis of "relative void" (abstract nothingness) and the antithesis of "relative beings" (concrete plurality) are transcended by the "middle way," the ontical "absolute void." About the difference between "relative void" (abstract void) and "absolute void" (ontological void) see Lu K'uan Yü (Charles Luk). *Ch'an and Zen Teaching*, p. 158. See also Alfonso Verdu, *Abstraktion und Intuition als Wege zur Wahrheit in Yoga und Zen*, pp. 130–135, 193–196.

11. Blyth, *Zen and Zen Classics*, p. 3. He adds: "All this seems to me unpoetical, unpractical, devoid of Zen, ununderstandable by the intuition."

12. 逐位頌, or *Chu-wei-sung*. Chinese text in *Taishō daizōkyō*, vol. 47, no. 1986. Japanese version in *Zenshū seiten* (Kyoto, 1962), p. 145.

13. 三更 (or *san-ching*; Jap.: *sankō*), or the so-called dead of night, wee hours, or the third watch, between midnight and 2 A.M.

14. The Japanese *in'in . . . omou* means to remember something faintly; *omou* (懷う), in this case as *mune ni motsu*, means "harboring in one's heart." What we render as "fascination" appears in the *Taishō* as *hsien* (Jap.: *itou* or *kirau*: 慊 or 嫌), which cannot mean "fascination." The reading, however, seems to be a misprint, because *hsien* does not rhyme with the other final-foot syllables. An alternate reading is 姸 (or 嬌) (or *yen*; Jap.: *ken*), which does rhyme, and which can mean "fascination." The context seems to agree better with this version.

15. See above, part 2, p. 97.

16. *"Kalpa of emptiness,"* the last of the four *kalpas* (periods) of a world's existence from origin to decay and destruction: (1) *Kalpa* of origination, *vivartakalpa* (Chin.: 成劫, or *ch'eng-chieh*; Jap.: *jōkō*); (2) *kalpa* of continuance, *vivartasthāyikalpa* (Chin.: 住劫, or *chu-chieh*; Jap.: *jūkō*); (3) *kalpa* of destruction, *saṃvartakalpa* (Chin.: 壞劫, or *huai-chieh*; Jap.: *ekō*); (4) *kalpa* of void, *saṃvartasthāyikalpa* (Chin.: 空劫, or *k'ung-chieh*; Jap.: *kūkō*).

17. 戲論寂滅 (or *hsi-lun, chi-mieh*; Jap.: *keron, jakumetsu*; Skt.: *prapañca, upaśama*). *Prapañca* originally means "vain, fatuous talk," and is thereby taken as standing for "expansion, manifold of delusive appearance." *Upaśama* means "extinction," as the act of bringing *prapañca* to a halt.

18. See above, part 1, pp.

19. 實我實法 (or *shih-wo shih-fa*; Jap.: *jitsuga-jippō*, or real ego, and real *dharmas*), as deceptive *parikalpita*, and 假有實無 (or *chia-yu shih-wu*; Jap.: *keu-jitsumu*, or provisory, borrowed being and no substantiality), as the nature of *paratantra*.

20. 塵埃 (or *ch'en-ai*) and also 埃土 (or *ai-t'u*; Jap.: *aido*), or 塵土 (or *ch'en-t'u*; Jap.: *jindo*), or the earthly dust, figuratively meaning 世俗 (or *shih-su*; Jap.: *sezoku*), or the mundane, worldly existence.

21. 諱 (or *Hui*; Jap.: *Imina*), the true and personal name of a present emperor, not to be pronounced until after his death and seldom even then; its use was strictly to be avoided during his lifetime.

22. See note 21 of part 3.

23. It should be noted that the German translation by Ohazama and Faust interprets the word *ch'en-ai* (Jap.: *jin'ai*) (see above, note 20 of part 3) as the dust of abstract equality. In their opinion the path mentioned by the stanza supposedly leads out of the dust of "abstract emptiness." Not only does this interpretation falsify the traditional Buddhist meaning of *ch'en-ai* (dust and grime, or world of defilement), but it also seems to stand in open conflict with the rest of the stanza, which clearly enhances the value of silence, retirement, and concentration. It is, however, perfectly true that this stage is superseded and transcended eventually; for it is not ultimate. Ohazama and Faust, *Zen, der lebendige Buddhismus in Japan* (Gotha, 1925), pp. 125 and 187, nn. 6 and 8. See also D. T. Suzuki, Erich Fromm, and Richard de Martino, *Zen Buddhism and Psychoanalysis* (New York, 1963), pp. 61 ff.

24. According to the Japanese version in the *Zenshū seiten* (see note 12 of part 3), 相避けず (do not separate). The Chinese text in the *Taishō daizōkyō* reads 不須避, or *pu hsü pi* (need not separate), which is probably a misprint.

25. 衝天, or *ch'ung-t'ien*, literally "striking the heaven," used as an adjective meaning "energetic."

26. 君臣五位 (or *Chün-ch'en wu-wei*; Jap.: *Kunshin goi*, or five relationships between lord and vassal), text to be translated later in the text.

27. 兼中至 (or *chien-chung-chih*; Jap.: *kenchūshi*) and 偏中至 (or *p'ien-chung-chih*; Jap.: *henchūshi*).

28. 全體卽用, or *ch'üan-t'i chi-yung*.

29. See above, part 2, p. 96.

30. According to the *Kegon sūtras*, the "world of interpenetration" (*jijimuge-hokkai*), created through the vows and practices of the Buddha Vairocana (Chin.: 盧舍那佛, or *Lü-she-na-fu*; Jap.: *Rushana-butsu*) rests on a huge lotus

flower. On this account, the "interpenetration world" is also called the 蓮華藏世界 (or *lien-hua-tsang shih-chieh*; Jap.: *rengezō-sekai*), or the lotus-repository world.

31. 至 (or *chih*; Jap.: *shi*) and 到 (or *tao*; Jap.: *tō*).

32. 有 無 (or *yu, wu*), or being, nonbeing (Skt.: *sat, asat; astitva, nāstitva*). As a tenet of *Mādhyamika, yu* and *wu* constitute the extremes of two erroneous views (有無二見, or *yu-wu-erh-chien*): both affirmation and negation posit exclusion of an opposite. This reveals, according to that school, the relativity of all statements.

33. 全用即體, or *ch'üan-yung chi-t'i* (see above, note 28 of part 3).

34. See Mochizuki Shinkō, *Bukkyō daijiten*, 4:3868.

35. *Ibid.*, in the author's translation.

36. 寶鏡三昧 (or *Pao-ching san-mei*; Jap.: *Hōkyō-zammai*). The Chinese text is in the *Jen-t'ien yen-mu* (Jap.: *Ninden gammoku*), *Taishō daizōkyō*, vol. 47, no. 2006.

37. 陽, or *Yin*; 陰, or *Yang*.

38. 暗 (or *an*; Jap.: *an*, or darkness) and 明 (or *ming*; Jap.: *myō*, or light). For *li* (or 理; Jap.: *ri*) and *shih* (or 事; Jap.: *ji*), see above, note 8 of part 3.

39. For a survey on the origin of the *I Ching* see James Legge, *I Ching, Book of Changes*, edited with an introduction and study guide by Ch'u Chai with Winberg Chai (New Hyde Park, N.Y., 1964). Also see a German translation by Richard Wilhelm, *I Ging: Das Buch der Wandlungen* (Cologne, 1924). This German version has been rendered into English by Cary F. Baynes, *The I Ching; or, Book of Changes* (Princeton, N.J., 1950 and 1968).

40. 重離, or *chung-li*.

41. Romanized from the Japanese version in the *Zenshū seiten*, p. 133. The original Chinese version is in *Taishō daizōkyō*, vol. 47, no. 515a.

42. Author's translation. R. H. Blyth gives a very deficient translation in his *Zen and Zen Classics*, 2:154. Blyth acknowledges not having understood the five variations of the *chung-li*. See *ibid.*, p. 154n6.

43. Both the "*sanekazura*" grass (Chin.: 莖草, or *chih-ts'ao*; Jap.: *chisō*) and the "diamond pounder" (Chin.: 金剛杵, or *chin-kang-ch'u*; Jap.: *kongōsho*) are symbols used to represent the five variations of the *chung-li* hexagram; they consequently symbolize the Five Ranks. These two symbols will be explained later on.

44. 兼中到, or *chien-chung-tao*, see above, p. 127.

45. From the Japanese version by Mochizuki Shinkō, *Tōsan goi*, in *Bukkyō daijiten*, 4:3867.

46. 巽 (or *sun*; Jap.: *son*).

47. 兌 (or *tui*; Jap.: *da*).

48. 大過 (or *ta-kuo*; Jap.: *taika*). Hexagram no. 28 in the *I Ching* sequence.

49. 中孚 (or *chung-fu*; Jap.: *chūfu*). Hexagram no. 61.

50. From Mochizuki Shinkō, *Bukkyō daijiten*, 4.3868. One should keep the above full diagram, p. 134, in view, in order to follow Yüan-hsien's argumentation.

51. Jap.: *Tadashiku shison no i o katadoru. Shison* (Chin.: 至尊, or *chih-tsun*) means "supreme," or "highest"; it was also a title given to Chinese emperors.

52. 金剛杵の象, or *Kongōsho no shō. Kongōsho* (Chin.: *chin-kang-ch'u*) or the diamond pounder (diamond scepter), which is used in India and Tibet to quell demons. Because it is made up of five symmetrical parts, it is mentioned by the *Pao-ching san-mei* (Jap.: *Hōkyō-zammai*) as a symbol of the Five Degrees. Its significance is explained hereafter.

53. 全白の象 (or *Zempaku no shō*), which literally means a "totally white symbol"; here and in the following sentences, Yüan-hsien refers to the symbolic "white and black" circles used by Ts'ao-shan (Sōzan) in his *Chün-ch'en wu-wei* (Jap.: *Kunshin goi*).

54. See above p. 132. *Chih* (or 茎; Jap.: *Sanekazura*) is a grass that grows mainly in the mountains of southern China. It yields a peculiar kind of sour-sweet medicinal grapes, which are said to combine all five fundamental tastes, namely, sweet, bitter, salty, acid, and acrid.

55. Mount *Sumeru*, supposed to be the highest mountain in the world, rising in its center. Other texts place the mountain in the center of the Buddhist *Tuṣita* heaven. On its top lives *Śakra*, or *Śakro devānām Indraḥ*, the tutelary divinity supposed to have used the diamond pounder to control thunder and lightning.

56. See above, notes 33 and 28 of part 3.

57. To be studied later. See note 26 of part 3.

58. 功勳五位 (or *Kung-hsün wu-wei*; Jap.: *Kōkun goi*).

59. Chinese text in *Taishō daizōkyō*, vol. 47, no. 525c. Japanese version in *Zenshū seiten*, p. 146.

60. 帝堯 (or *Ti-yao*; Jap.: *Teigyō*), a title given to the legendary emperor Yao. More information follows in the commentary.

61. Jap.: 龍腰を曲ぐ (or *ryūyō o magu*), or "to bend the dragon's legs," a metaphor to designate "to yield the emperor's dignity for the good of the people."

62. See above, part 2, p. 90.

63. 阿誰 (or *a-shui*; Jap.: *asui*): a colloquial Chinese form for "who?" or "whom?" (modern Jap.: *dare?*).

64. 子規 (or *tzu-kuei*; Jap.: *shiki*), and also *hototogisu*, a "cuckoo bird."

65. 啼 (or *t'i*; Jap.: *tei*), the cry uttered by a bird, in this case the "cuckoo" sound.

66. See above, part 2, p. 91, and note 48 of part 2.

67. *Ibid.*

68. 刧外 (or *chieh-wai*; Jap.: *kōge*), or out of this worldly era, referring to a "miraculous" kind of springtime.

69. 麒麟 (or *ch'i-lin*; Jap.: *kirin*), a mythical dragon or unicorn said to appear and face the ones who follow the "royal road" (王道, or *wang-tao*) of righteousness.

70. 好日辰 (or *hao-jih-ch'en*; Jap.: *kōnichi-shin*, or *kōnisshin*), the "dragon hour" (辰, or *ch'en*) or "dawn" of a "beautiful day."

71. The eighth in a sequence of ten classical *Zen* drawings (circular in shape), called the "Ten Oxherding Pictures," representing a man in the process of taming an ox. The eighth picture in question consists of a bare, empty circle.

72. Whether the "hunting of the Kylin" symbolizes also the struggle against the temptations that one is expected to experience in the way towards Buddhahood is thinkable. See above, note 69 of part 3.

73. 鷓鴣 (or *che-ku*; Jap.: *shako*), or a partridge, a poetical bird in Chinese literature.

74. There can be some doubt as to the originality of the present text, since *hsin* (Jap.: *arata nari*), which always ended in *n*, does not rhyme with *ch'in* (Jap.: *okasu*) and *shen* (Jap.: *fukashi*), both of which, at the time of the poem, ended in *m*. (The final *m* did not change into *n* until several centuries later.) There is, to my knowledge, no variant reading, however.

75. See above, part 2, p. 99, and note 91 of part 2.

76. Jap.: 頭角・・・生ずれば, or *zukaku . . . shōzureba*, literally "as he grows his head-horns," which is metaphorical for "as he excels among others."

77. 空劫, or *k'ung-chieh*. See above, note 16 or part 3.

78. See above, note 76 of part 3.

79. See above, note 103 of part 1.

80. See Lu K'uan Yü (Charles Luk), *Ch'an and Zen Teaching*, 1st series, p. 67. See also note 102 of part 1.

81. This mythical jeweled net of interinclusive reality accounts for the Kegonian term 重重帝網 (or *chung-chung ti-wang*; Jap.: *jūjū-taimō*) or divine net of interaction.

82. 事事無礙 (or *shih-shih wu-ai*), 重重無盡 (or *chung-chung wu-chin*).

83. Suzuki, *Essays in Zen Buddhism*, 3d series, p. 89.

84. See notes 28 and 33 of part 3.

85. See part 2, p. 100.

86. *Taishō daizōkyō*, vol. 47, no. 1986.

87. The Japanese version is taken from Mochizuki Shinkō, *Bukkyō daijiten*, 4:3866. The Chinese text is in *Taishō daizōkyō*, vol. 48, nos. 315c-316a.

88. Author's translation.

89. 趣向 (or *ch'ü-hsiang*; Jap.: *shukō*), 向 (or *hsiang*; Jap.: *kō* or *kyō*),

meaning "to face something" or "aim at something," like the Japanese verb *mukau*, "turn to," or *mukeru*, "aim at" or "intend to."

90. 承奉 (or *ch'eng-feng*; Jap.: *shōhō*). The meaning of this compound is a combination of facing a superior in a deferential posture and indicating by one's attitude that one is awaiting his instructions, which one will then carry out to the best of one's ability.

91. 放下 (or *fang-hsia;* Jap.: *hōka*).

92. Jap.: 色を得ず (or *iro o ezu*).

93. Jap.: 一色にして (or *isshiki ni shite*), meaning "total undifferentiation" proper to the highest state of *samādhi* (Jap.: *sammai*) in the third stage.

94. See note 19 of part 3.

95. 不共 (or *pu-kung*; Jap.: *fukyō*), or uncommon.

96. 有無 (or *yu, wu*; Jap.: *u, mu*), or existence, nonexistence.

97. 理事 (or *li, shih*; Jap.: *ri, ji*), or ideal principle, concrete thing-ness.

98. 如來 (or *ju-lai*; Jap.: *nyorai*), or "thus come," said originally of the Buddha himself as "Thus come and gone" (from *Tathatā* to *Tathatā* as *Tathatā*). "Thus come" is also philosophically implied to be the very character of ultimate reality or universal "suchness," which through "self-permeation" is "ever coming as such" and ever manifesting itself. This would be the basis for a universal interpretation of the *Tathāgata-garbha* as explained above on pages 18–20.

99. 空 (or *k'ung*; Jap.: *kū*), or void; 中 (or *chung*; Jap.: *chū*) or middle; and 縁 (or *yüan;* Jap.: *en*), or causal relation.

100. 因 (or *yin*; Jap.: *in*), or cause; 果 (or *kuo*; Jap.: *ka*), or effect, loosely corresponding to 本 (or *pen*; Jap.: *hon*), or origin, priority; and 末 (or *mo*; Jap.: *matsu*), or outcome, posteriority. The *pratītya-samutpāda* (or dependent origination; Chin.: 縁起, or *yüan-ch'i*; Jap.: *engi*) is a central conception of causality in Buddhism. In the *Mādhyamika*'s interpretation, since all things come into existence through *pratītya-samutpāda,* they are mutually interdependent, they lack a proper self-nature and hence are all "void" (Chin.: 空, or *k'ung*; Jap.: *kū*). Thereby "void" becomes the absolute "middle" between the two interdependent and correlative extremes of cause (因) and effect (果).

101. *Taishō daizōkyō,* vol. 47, no. 527a.

102. *Ibid.,* vol. 47, nos. 536c–537a.

103. Taken from Mochizuki Shinkō, *Bukkyō daijiten*, 4:3865.

104. 兼帯 (or *chien-tai*; Jap.: *kentai*) is a verb whose literal meaning is to wrap up two things or more in the same sash. Here it designates the level where *cheng* (Jap.: *shō*) and *p'ien* (Jap.: *hen*) merge together; it corresponds to the fifth stage of *chien-chung-tao* (Jap.: *kenchūtō*), or "arriving in the midst of both." "Synthesis" comes closest to the meaning within the context.

105. 冥 (or *ming*; Jap.: *myō ni*). *Ming* originally means "the dark" or "the underworld." It is taken as synonym for the "mysterious," the "transcendent,"

the "unfathomable." With the particle *ni*—in Japanese—it becomes adverbialized ("unfathomably," "transcendentally").

106. 虚 玄 (or *hsü-hsüan;* Jap.: *kogen*), or the mysterious void; "mysterious" here implying also the "transcendent," "unfathomable" character of the *chien-tai* (see previous note).

107. See note 8 of part 3.

108. See above, part 3, pp. 131–134.

109. *Taishō daizōkyō,* vol. 47, nos. 527a, 537a.

110. 白 衣 (or *pai-i*; Jap.: *byaku-e*), literally "a white robe," a metaphor used to designate the servants in noble houses. The servants used to wear white garments.

111. 相 (or *hsiang*; Jap.: *shō*), a verb meaning "to look" and "to help"; as a noun it means "appearance," or "look," and a "helper"; since ancient times it has been also used to designate the "ministers of state," the "assistant to the rulers." We translate it for "dignitaries" as opposed to the "vassals" or "servants."

112. 簪 纓 (or *tsan-ying*; Jap.: *shin-ei*), originally meaning a kind of jeweled pin for the hair to hold the crown of a noble man. In metaphorical sense, it means the "dignity or honor of the nobility."

113. 兜 率 界 (or *Tou-shuai-chieh*; Jap.: *Tosotsu no kai*), or the *Tuṣita* world, the fourth of six Buddhist heavens, which is presided over by Maitreya (Chin.: Mi-lo; Jap.: Miroku), the Buddha of the future.

114. 烏 雞 (or *wu-chi*; Jap.: *ukei*), a black chicken.

115. See above, p. 54 and note 81 of part 1.

116. 焔 裏 (or *yen-li;* Jap.: *enri ni*), literally "within the flame."

117. The ninth month could begin anywhere from the middle of September to the middle of October, extending twenty-nine or thirty days from that point. China did not adopt the Gregorian calendar until 1912.

118. See above, part 3, p. 145, and note 71 of part 3.

119. See above, p. 144.

120. See above, part 3, p. 154, and note 93 of part 3.

121. Literally, "the Sun is not able to outdistance the moon." Jap.: *gyokuto* (玉 兎), or "jade hair," the poetical compound for *tsuki* (月), "moon"; here it is the object of the verb *hanaruru* (to separate from or to distance oneself from).

122. Jap.: *Akirame-gatashi* (or 明 ら め 難 し), literally, "hard to distinguish."

123. 威 音 王 (Jap.: *Ionnō,* the King *Wei-yin*; Skt.: *Bhīṣmagarjitasvara-rāja*), who figures in one of the stories of the Lotus *Sūtra* and also in the *Laṅkāvatāra.* He represents the past.

124. 弥 勒 (or *Mi-lo*; Jap.: *Miroku*; Skt.: *Maitreya*), or "the next Buddha," the representation of the future.

125. See note 17 of part 3.

126. See above, part 3, p. 166, about the *reductio ad absurdum* of "mere absoluteness" and "mere relativity."

127. See above, note 100 of part 3.

128. 有語 無語, or *ugo, mugo.*

129. The Chinese text of the *Wu-wei hsien-chüeh* (Jap.: *Goi kenketsu*) will be found in *Taishō daizōkyō*, vol. 47, nos. 541c–542b. A much more critically edited text is given by the *Kokuyaku Zenshū sōsho*, 8, which is accompanied by a Japanese version. The *Goi kenketsu* consists of some laconic, cryptic statements eked out with a great deal of interlinear commentary. Only the bare text is being translated here (without the interlinear glosses). The translation is followed by the author's own commentary.

130. *Chien-tai* (Jap.: *kentai*), see above, note 104 of part 3.

131. When one reaches the state of *chien-tai* (Jap.: *kentai*, i.e., the state of identity between oneness and plurality), one finds nothing changed in his involvement with "daily business," except that he realizes now that he can keep profoundly "silent" *(upaśuma)* in the very midst of "busy talk" *(prapañca)*.

132. The phrase "then face the fact" seems to imply the previous statement of the text: "face the fact on the synthesis" (Chin.: *chien-tai*; Jap.: *kentai*), as already mentioned above (see note 131 of part 3); i.e., "keep your mind in the common zone of both, oneness and plurality, and then carry on your usual daily activities, as though nothing had happened."

133. The enlightened mind expands beyond both the quiet abode of the "wordless" and the busy world of the "worded." As master Hakuin says: "Going or returning, he is ever at home" (Hakuin, *Hymn of Meditation*, in *Zenshū seiten*, p. 1138).

134. Jap.: *Teki-teki nashi* (or 的的無し), literally, "not discerning details."

135. 隨緣. See above, pp. 55–62, about causation as "self-permeation" and "self-manifestation."

136. 妙有 (or *miao-yu;* Jap.: *myō-u*, or wonderful or transcendental reality) is another designation of the empty aspect of the *Dharmakāya.*

137. The legendary, "sage" emperors of China—Yü, T'ang, Yao, and Shun; see above, part 3, p. 141.

138. 裹頭 (or *kuo-t'ou;* Jap.: *katō*). Originally meaning a peculiar field garment (probably a head towel) worn by certain Buddhist monk-warriors, the term *kuo-t'ou* or 裹頭衆 *(kuo-t'ou-chung)* came to designate the order of fighters created to defend Buddhist monasteries from alien incursions.

139. 塵中 (or *ch'en-chung*; Jap.: *jinchū*), or "in the midst of the worldly dust." See above, note 99 of part 2. There are six kinds of "worldly defilements" or "worldly dusts" (Chin.: 六塵, or *liu-ch'en*; Jap.: *rokujin*), which correspond to the objects of the six sensorial organs: 色 (or *se*), colors; 聲 (or

sheng), sounds; 香 (or *hsiang*), odors; 味 (or *wei*), tastes; 觸 (or *ch'u*), touch; and 法 (or *fa*), *dharma* elements.

140. 名 (or *ming*; Jap.: *na*; Skt.: *nāman*), in this context alluding to the great *Bodhisattva* title.

141. See above, part 3, p. 171.

142. 理 事 無 礙 (or *li-shih wu-ai*; Jap.: *riji-muge*), or "nonimpededness" between the principle (the universal) and the thing (the concrete).

Part IV

Later Speculations on the Dialectical Nature of the Five Degrees

1
Introduction

Esoteric Buddhism, born in India under the influence of occultistic rituals, spread into Nepal and Tibet during the seventh and eighth centuries and flourished in China until its rapid decline at the end of the T'ang Dynasty (tenth century A.D.). Ironically, the downfall of esoteric Buddhism in China marked the beginning of the Japanese Mantric (*Shingon*) School, which was brought to Japan by the famous monk Kūkai, also called Kōbō-daishi.[1] The Cult of *Vairocana* (Jap.: *Birushana*), as the central figure in the esotoric conception of the "Five Buddhas,"[2] flourished in Nara, where his huge statue still is visited by the crowds of pilgrims and tourists who daily flow into this ancient capital. Up to the present, the *Shingonshū* (the Esoteric Mantric School) has been one of the most influential groups in Japanese Buddhism.

Yüan-hsien, who lived during the early part of the seventeenth century, is remembered for his controversial attack on Hui-hung's interpretation of the Five Degrees dialectic. Through his speculations about the central character of the third stage, Yüan-hsien paved the way for a number of subsequent revisions that were attempted in Japan, primarily during the eighteenth and nineteenth centuries. In well-known Buddhist centers, such as Nara and the Ueno temple at Edo (now Tokyo), the tenets of both the exoteric *Kegon* school and the esoteric *Shingon* school were propounded not only as nonopposite doctrines, but as intimately correlated and mutually perfecting expressions of both Buddhist philosophy and Buddhist practice. The *Shingon* predilection for emblems, triads, and quintuples of metaphysical and cosmological correspondences unavoidably influenced the speculations of monks and scholars in various circles of the *Ts'ao-tung* (*Sōtō*) school.

These speculations must be attributed, in part, to the remarkable tendency towards syncretism that was shown by esoteric schools in general. As an intellectual phenomenon, philosophical syncretism began developing in Confucian China with the cosmologies of Chou Tun-i and Shao-yung and the doctrines of the two main schools of

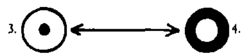
Neo-Confucianism. Chu Hsi, the great thinker of the twelfth century (sometimes called the Thomas Aquinas of China) was a great synthesizer of the basic expressions of Taoistic, Confucianist, and even Buddhist thought. Notions such as the "great ultimate" and the "ultimateless" (*t'ai-chi* and *wu-chi*)[3] and pairs of correlates such as *li* and *ch'i*, and *Yin* and *Yang*, were incorporated in a fitting place within Chu Hsi's system. The more amalgamating (rather than unifying) effort of the esoteric schools was just as intense. Syncretism has been a peculiar trend within all esoteric systems, including those of the West. It is puzzling to see the great extent to which the *Sōtō Zen* schools allowed themselves to be influenced by this predilection of the *Shingon* sect for a species of ritualistic alchemy in which the metaphysical and the physical, the spiritual and the material, the ideal and the concrete realms of reality were claimed to operate as a function of occult forces and powers that were thought to be intrinsically conveyable through symbols, *maṇḍalas*, secret formulas, and mystic syllables.

The symbols and formulations to be studied in this chapter are taken from texts of doubtful origin. All of them are collected in the bulky volumes of the *Sōtōshū Zensho Chūge*,[4] a complete Japanese edition of extant documents on the *Sōtō* doctrine. The main source for the esoteric speculations on the nature of the fivefold structural aspects in cosmology, psychology, and even Buddhahood will be the *Chūteki-himitsusho*,[5] a Japanese text written at the Ueno monastery, located in the eighteenth-century town of Edo (now Tokyo), by a monk who was well versed in the *Shingon* doctrine and was familiar with the writings of Yüan-hsien. Other texts of probable Chinese origin, some of which were earlier than Yüan-hsien's criticism of Hui-hung's interpretation of the Five Degrees, are also found in the collection mentioned above. The *Tōjō Ungetsu roku*,[6] which elaborates on Hui-hung's interpretation according to both the Neo-Confucianist theory of *Yin* and *Yang* and the *Chung-li* (Jap.: *Jūri*) formulation of the *Pao-ching san-mei* (Jap.: *Hōkyō-zammai*), is particularly relevant and will be quoted later in this chapter. As further sources, the *Jūri-jō henketsu*[7] and the *Goi kenketsu genji kyaku*[8] will expound Hui-hung's interpretation in purely Kegonian terms of "interpenetration" and will faithfully and exclusively follow the trigrams and hexagrams of the *Pao-ching san-mei* (Jap.: *Hōkyō-zammai*). Finally, the *Hen-*

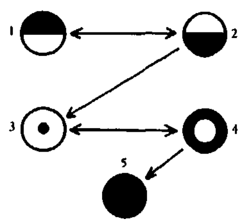
shō goi zusetsu kitsunan[9] also defends and explains Hui-hung's thesis, but relies upon Confucianism merely as a basis.

A brief summary of the respective positions of Hui-hung and Yüan-hsien on the character of the Five Degrees dialectic follows.

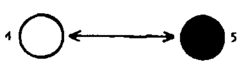
Hui-hung accepts a dual opposition between the 1 ⟷ 2 and the 3 ⟷ 4 members of the Five Degrees; and thus, he views the fifth stage as representing the ultimate synthesis. He does not admit that the symbol for the fourth member is a completely white circle. Instead he envisages a black circle with a white spot in the center; obviously, this opposed the third, a white circle with a black spot in the center:



The title of the fourth stage is *p'ien-chung-chih* (Jap.: *henchūshi*, or arriving to the center of the biased), as over against the third, which is *cheng-chung-lai* (Jap.: *shōchūrai*, or coming out of the straight):

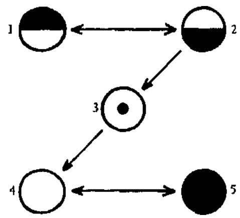


Yüan-hsien, on the other hand, proposes the fourth stage as a correlate of the fifth, and thereby excludes it as an expression of the general synthesis while still retaining it as the summit of the hierarchy. He assumes that the fourth symbol is represented by a totally white circle. This implies a quasi opposition to the fifth as totally black:



Thus, the fourth stage is called *chien-chung-chih* (Jap.: *kenchūshi*, or heading towards the center of both), and is over against the fifth, *chien-chung-tao* (Jap.: *kenchūtō*, or reaching the center of both).

According to Yüan-hsien, the third stage portrays both the "mean" position and the transitional phase between the first and second pair:



Now the newly proposed formulations of the *wu-wei* (Jap.: *goi*) will be examined.

2

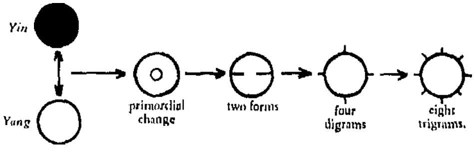
Syncretic Formulations of the Five Degrees: The Neo-Confucianist Pattern

The Neo-Confucianist formulation, although approximating Yüan-hsien's scheme, forfeits, in my opinion, the entirety of the original Buddhist flavor peculiar to the "five stages." The "enlightened" dialectics incorporated into the writings of Ts'ao-shan and Tung-shan, which include both cosmic and mystical aspects, become mere steps of a cosmogonic evolution through the interaction between the classical *Yin* and *Yang* forces.

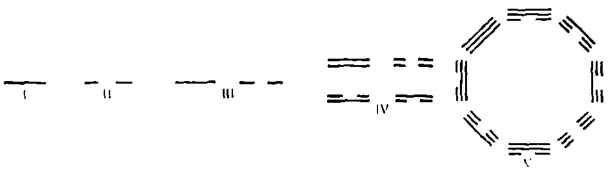
The *Yin* and *Yang* principles, whenever used in Buddhist texts such as the *Ts'an-t'ung-ch'i* (Jap.: *Sandōkai*) and the *Pao-ching san-mei* (Jap.: *Hōkyō-zammai*) and by authors comparable to Hui-hung and even Yüan-hsien (who was a consistent, faithful Buddhist), were always interpreted as exhibiting a pair of opposites similar to the Buddhist *li* (Jap.: *ri*, or the universal) and *shih* (Jap.: *ji*, or the particular), *an* (Jap.: *an*, or darkness, for equality) and *ming* (Jap.: *myō*, or light, for diversity), *chi-mieh* (Jap.: *jakumetsu*) and *hsi-lun* (Jap.: *keron*), *nirvāṇa* and *saṃsāra*; thus, *cheng* (Jap.: *shō*) and *p'ien* (Jap.: *hen*). Because of the accepted naïve understanding, the Buddhists view *Yang*, which is represented by a straight line (——), as the equivalent of *cheng* (Jap.: *shō*, or the straight, absoluteness); whereas *Yin*, as represented by a broken line (— —), is considered to denote *p'ien* (Jap.: *hen*) as the principle of relativity and diversity. However, this interpretation does not seem to be in accordance with the original meanings ascribed to the *Yin* and *Yang* symbols by the *Book of Changes*; and certainly they are not the meanings accorded to them by Chou Tun-i and his Neo-Confucianist successors.[10]

This distortion of the notions originally embodied in the *Yin* and *Yang* designations accounts for the semantic inconsistency that the *Sōtō* Buddhists confront in their representation of *Yin* (their equivalent for *p'ien*; Jap.: *hen*) by "whiteness" and *Yang* (corresponding to *cheng*; Jap.: *shō*) by "blackness" and that openly contradicts the essential meaning of the characters—*Yin* signifying "darkness" and *Yang* "light" and "clarity."[11]

The *Chūteki-himitsusho*[12] is a text concerned primarily with the possible embodiment of esoteric cosmogonic doctrines in the symbolism of the Five Degrees. In fact, a diagram consisting of circular symbols opens the text. These symbols are a rough reproduction of the cosmogonic evolution propounded in the appendices added to the *Book of Changes* by Confucianist scholars. The symbols appear as follows:



If the exact indications of the *I Ching* appendices were followed, the steps could be drawn as represented below:



Obviously, the main difference in the *Chūteki-himitsusho* diagram concerns the initial step of the cosmogony. Its author's familiarity with Chou Tun-i's[13] notions of the "Great Ultimate" and "Ultimateless" as designating the "Great Tao," which encompasses both aspects of "motion" and "quiescence" in itself, comes to the fore. Whether he rightly understands the bearing of these notions is another question. In the *Chūteki-himitsusho* the "Ultimateless" *Mukyoku* (or isolated *Yin*) and the "Great Ultimate" *Taikyoku* (or isolated *Yang*) are represented separately and dualistically.[14] Their interaction (primordial change, the second stage) activates the whole cycle of cosmic evolution. Buddhist attempts to insert Yüan-hsien's opposition between the black and white circles into the Confucianist cosmological framework will result in an irreducible dichotomy between the two notions. Tun-i uses these notions as mere connotations of one indivisible transcendent reality that is simultaneously present and immanent in all processes that occur in the world.

It follows that anyone who remains faithful to Chou Tun-i's doctrine cannot represent the Great Ultimate and the Ultimateless as

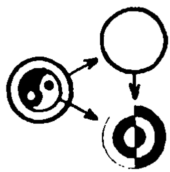
separate entities; for they are, supposedly, expressions that apply to the one reality that underlies the world processes and that would under no circumstances be merely synonymous to *Yin* and *Yang*. In the "Great Ultimate" (and "Ultimateless") the two potential aspects of "motion" and "quiescence" must be viewed as being contained within a reality that transcends both; and in this sense, this reality is in some respect analogous to the Aristotelian "unmoved mover."

If viewed in accordance with the more dialectical character of the Taoist "law of reversal," worldly "motion" denies itself at its climax and posits "quiescence" as its opposite. Thereby the very notion of "activity" will also account for "passivity." In the total creative evolution of the world there will be a *climax* for motion and a *climax* for quiescence. These climaxes are represented in the eight trigrams by the symbols *ch'ien* ☰ and *k'un* ☷ (heaven and earth) and in the sixty-four hexagrams by the symbols ䷀ and ䷁. The oscillation between the dual combinations of "activity" and "passivity" will represent a progression towards a "high" of activity and a return to a "low" of passivity.

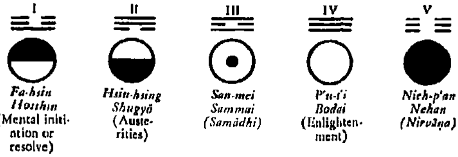
Now the question arises as to which of the aspects should hold priority. On the Confucian basis of the *I Ching* appendices and the diagram above, one could assume that the principle of *Yang* should hold logical priority: the "straight line" is the point of departure and the presupposition for all change. Nevertheless, the Taoist interpretation chooses *Yin* (the female, "quiescence") as holding ontological priority; and previously it has been stated that in early Buddhism, the latter is consistently given primacy. Hence we have the negativistic conceptions of *nirvāṇa* as being primarily *extinction*, *quietude*, and *rest*, within the evolution of most philosophical schools that precede Nāgārjuna's sweeping revision, which will be climaxed in the Kegonian synthesis. These revisions account for the flagrant inconsistencies that are involved in the Buddhistic use of the symbols (———) *Yang* and (— —) *Yin*. The texts relying on the *Pao-ching san-mei* (Jap.: *Hōkyō-zammai*) (which is clearly Kegonian) will give priority to *Yang* —— (light) and view it as an expression of "oneness" (*cheng*, Jap.: *shō*). *Yin* — — (darkness), correspondingly, becomes a synonym of *p'ien* (Jap.: *hen*, on the biased, diversity). Here it is that the confusion of symbols arises, since in that case the white circle would

apply to *Yin* and the black one to *Yang*.[15] Contrariwise, the followers of Yüan-hsien's interpretation will maintain a more traditional and conservative variety of Buddhism by giving priority to "quietude"; thereby they follow the traditional Taoist path in proclaiming the "triumph of the female":[16] *Yin* (quiescence) will be the "Ultimateless" concept that applies to the primordial, absolute, and original state. *Yin* (passivity) will signify *cheng* (Jap.: *shō*, or the straight) and *Yang* (action) will signify *p'ien* (Jap.: *hen*, or the biased). The incongruency of representing the *Yin* by a white circle and *Yang* by a black one disappears in this interpretation, but at the expense of the more progressive stand, which is proper to Kegonian thinking. Nevertheless, the Buddhists' misrendering of the original meaning of *Yin* (quiescence) and *Yang* (motion) remains intact, whenever applying such terms as designations for "equality" and "diversity."

According to the *I Ching* appendices, neither principle is to be held exclusively as the seat of absoluteness or as a source of diversification and relativity; rather, interaction (between the two) is advocated. Thus, *Yin* and *Yang* are initial and intrinsic principles of relativity and diversity that ensue from the nondualistic and universal stage of absoluteness in the so-called Great Ultimate. In the contexts of both appendices and also of Tun-i's teaching, *Yin* and *Yang* are to be considered, prior to cosmic "diversification," as potential constituents of dependent being. Both are "*relative*" to one another: paradoxically, *absolute* "quiescence" and *absolute* "motion" never occur as conflicting opposites, in other than the "ultimate" and "original" state *wherein they coincide*, namely, in the Great Ultimate, the metaphysical Tao. For this reason the "Supreme Ultimate" (*T'ai-chi*) and the "Ultimateless" (*Wu-chi*) apply equally and indivisibly to the Absolute as such. In order to express this transcendent unity and coincidence pictorially, Tun-i made use of the famous diagram containing the two opposing aspects of *movement* and *quiescence*, which were enclosed within an undifferentiated ring representing their ultimate identity-in-difference:



In this sense, according to Tun-i, the Supreme Ultimate would be a designation meant to emphasize the positive character of this transcendent ground of all determinations in its beyondness (close to the Mahayanistic term *tathatā*), whereas the term "Ultimateless" would stress the more negative character of inner illimitation and unconstricted indetermination (an aspect that the Buddhists express as *śūnyatā*, or void, emptiness). On this basis, the *Ts'ao-tung wu-wei* (Jap.: *Sōtō no goi*) interpreters who follow Yüan-hsien will choose a completely "black" circle to convey a negative representation of absoluteness (emptiness, nondetermination) and a "white" one as an expression of absolute and pure realization of activity that they will interpret noetically as taking place in enlightenment. This twofold expression of absoluteness corresponds to Yüan-hsien's fourth and fifth stages of the *Wu-wei* (Jap.: *Goi*).[17] However, the latter implies simultaneous use of the trigrams and is viewed as representing those two correlative stages respectively: pure *Yin* (absolute quiescence) signifies *nieh-p'an* (Jap.: *nehan*; Skt.: *nirvāṇa*, or extinction), while pure *Yang* denotes *p'u-t'i*; (Jap.: *bodai*; Skt.: *bodhi*, or enlightenment). In accordance with the presuppositions above, the expression of the *Goi* by means of trigrams takes the following shape:

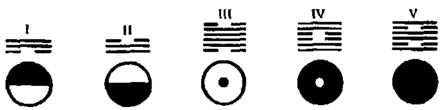


This representation, as given by the *Chūteki-himitsusho*, is in accordance with Yüan-hsien's pattern of opposing the fourth and the fifth stages on the basis of the classical conception of *Yin* and *Yang* as quiescence and motion; thus the scheme is reminiscent of, though not in perfect accordance with, Tung-shan's conception of the *Kung-hsün wu-wei* (Jap.: *Kōkun goi*), which—as we remember—takes the following pattern:

I	II	III	IV	V
Fa-hsin	*Hsiu-hsing*	*P'u-t'i*	*Fang-pien*	*Nieh-p'an*
Hosshin	Shugyō	Bodai	Hōben	Nehan
(mental initiation or resolve)	(austerities)	(enlightenment)	(expedient means)	(nirvāṇa)

The main differences between the above pattern and Tung-shan's sequence of the *Kung-hsün wu-wei* (Jap.: *Kōkun goi*) will be discussed in detail later in the next chapter. For the present time let us concern ourselves only with the following point:

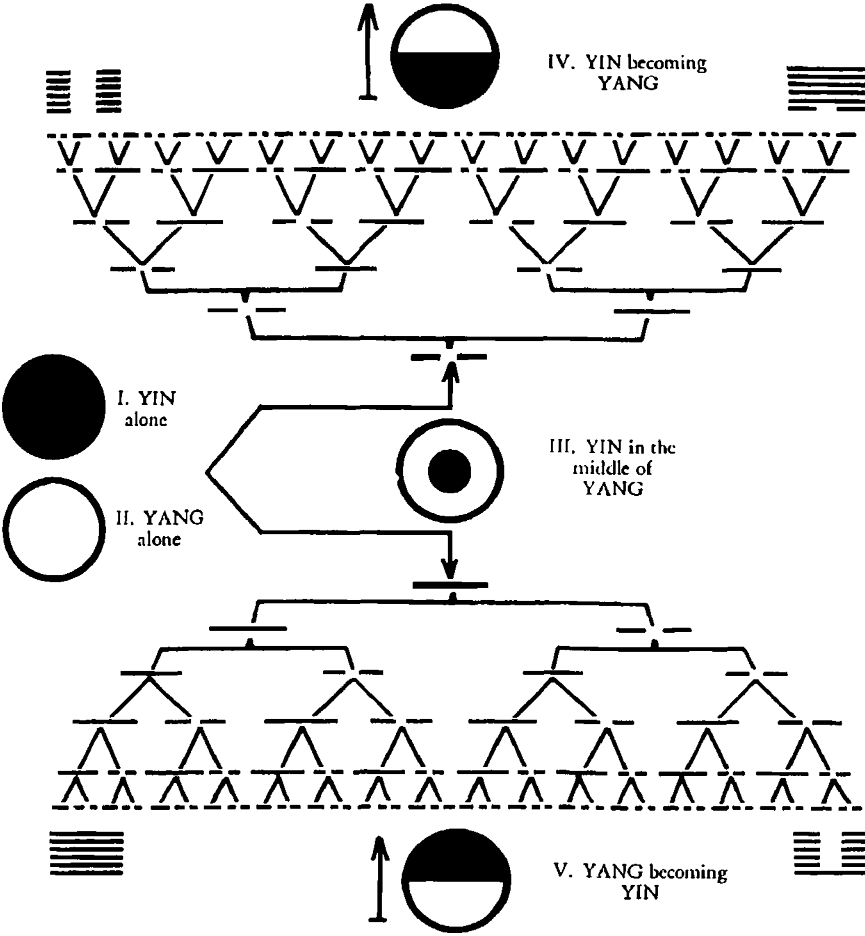
Obviously, the scheme above accords priority to the *Yin* principle (broken lines) by allowing synonymity with *nieh-p'an* (Jap.: *nehan*; Skt.: *nirvāṇa*), and thereby it differs completely from the arrangement of the *Chung-li* (Jap.: *Jūri*) scheme of the *Pao-ching san-mei* (Jap.: *Hōkyō-zammai*),[18] which is patterned accordingly:



It clearly favors Hui-hung's interpretation by proposing the fifth stage as "inter-fusion" (rather than pure quiescence) and "coincidence" of unity and diversity. Evidently the former scheme (which follows Yüan-hsien on a Taoist basis) posits pure "quiescence" as the last achievement in Buddhahood (the *nirvāṇa* of extinction), a trait which is more in accordance with a *Vijñānavāda* or even a *Hīnayāna* framework of thought. The *Chung-li* scheme, however, aids Hui-hung's followers in establishing the *Wu-wei* (Jap.: *Goi*, or Five Degrees) on the more genuinely Kegonian basis of a *nirvāṇa* in which "interpenetration" is the ultimate stage to be achieved. Discussion of this last point will continue later.

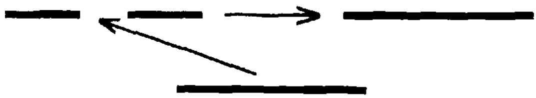
When attention is focused on cosmogonic interpretations that are based on Neo-Confucianist speculations on the *I Ching*, the cosmogony, according to the *Tōjō Ungetsu roku* (Records on the *Ungetsu* discussion about Tung-shan),[19] occurs in five steps. Such a move would transfer Yüan-hsien's more mystico-noetical conception to an ontico-cosmological level. Because the process represented herein is merely cosmogonic, the order of the stages runs counter to the mystical scale (which is the reverse of the scale of origination) in a way similar to the Plotinian epistrophe.[20] Therefore, the fifth and fourth stages of Yüan-hsien's scheme(and the same would apply to Tung-shan's Five Degrees) become the first and second; and likewise, the other steps are to be reversed. The diagram, with minor clarifying changes, appears below:[21]

The Neo-Confucianist chart showing the circular sequence of the sixty-four hexagrams as providing the basis for the "Five Degrees" dialectic.
(*Tōjō Ungetsu roku,* "Sōtōshū Zensho," vol. 5, pp. 89, 182).



As shown by the diagram, a seemingly Neo-Confucianist counterpart of the *Ts'ao-tung wu-wei* (Jap.: *Sōtō-goi*) is offered; and as a matter of fact, it represents an extension of Shao Yung's diagram for the development and cosmological interpretation of the eight trigrams.[22] The two pure aspects of quiescence (black) and motion (white) are placed at the top, and are reminiscent of the Aristotelian categories of "potency" and "act": they stand as ultimate principles of all relativity, diversity, and plurality, for both are equally ultimate and eternal correlates in the evolution of the cosmos. As they stand

opposing one another, a scent of dualism becomes easy to detect. The diagram relying upon Yüan-hsien's scheme of the correlation between the "black" and the "white" fails to offer a proper representation of an ultimate and absolute "coincidence" between quiescence and motion. It falls short of faithfully representing Chou Tun-i's and Chu Hsi's efforts of synthesis, which culminate in the transcendent concept of the "Great Ultimate," that is, in itself, "Ultimateless." The chain of cosmic origination, as given, becomes an example of pure relativity; "quiescence" is given an antithetic role to "motion." This original opposition between the first and the second stages makes them necessarily relative to one another. The initial interaction between the two principles is depicted by the third stage, which features the point of departure for "change" and "diversification." The two principles, as interaction "in process," divide themselves into six consecutive phases: each one of the basic dialectical moments splits by positing both the negative of itself and its own reaffirmation in a way similar to Hegelian "reflexion" in the deduction of the categories of "essence" in the *Logic*. Thus, *Yang* reaffirms itself, or returns to itself, by suspending its own negation (*Yin*), and vice versa.



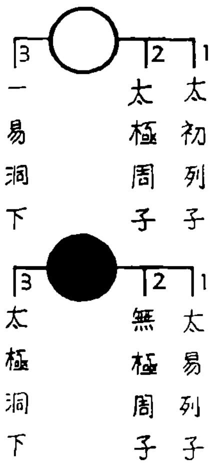
Thereby, a "horizontal" division and a "vertical" composition occur simultaneously. After the sixth repeated "partition" of the original pair (——— and — —) a result of sixty-four composites is yielded. An equal number of hexagrams are recorded in the *I Ching*. The order of the developing hexagrams follows two streams, which travel in opposite directions: the one on the left (going upwards) begins with *kou* ䷫ (which shows a predominance of *Yang* [motion]) and ends in *k'un* ䷁ (the climax of "quiescence" [pure *Yin*]), while the line of resulting hexagrams on the right side (going downwards) begins with *fu* ䷗ , which still shows a predominance of *Yin* (as a sequence of *k'un*). *Fu* denotes return, marks the turning point of the process, and travels toward the climax of "motion," or pure *Yang* (*Ch'ien* ䷀). After this climax has been reached, the cycle begins anew. In a Buddhist context, the point of utter quiescence applies to

the end of an aeon (*kalpa*), while the *fu* signals the beginning of a new world.

As can be observed, the diagram described bears an obvious resemblance to the "*a-li-yeh shih*" (Jap.: *ariya-shiki*) scheme of Tsung-mi, although two major differences must be noted:

1. Tsung-mi's diagram depicts an immanentistic consciousness causation that runs counter to the mystical "reversion" towards Buddhahood, whereas the diagram above merely proposes a downwards and upwards oscillation of pure cosmogonic character with no apparent mystical content in it.
2. The stage for the "point of departure" in Tsung-mi's diagram is based not upon a conflicting duality as in the above chart, but on a common source that explicitly includes and overreaches all opposites within itself, namely, the universal *ālayavijñāna*.

Clearly, the *Tōjō Ungetsu roku* attempts to reinforce its syncretic theories by giving three accounts of the way in which the three primary modalities of Chinese thought would interpret the two fundamental opposing circles of the chart—the "black" and the "white"—consistently on the basis of their own tenets. The text offers the following diagram:[23]



However, this effort towards reconciliation does not seem to be successful. The first pair of formulations (under 1) indicates the Taoist

interpretation of the two symbols, by reference to Chuang-tzu's Taoist text, *Lieh-tzu* (列 子). By application of the tenets of this book, the "black" would denote the Great *Yi* (太 易), which is synonymous with the Great Tao as the immutable and quiescent ground of all reality, while the "white" would represent the "great beginning" (太 初).

The second pair (under 2) refers to Chou Tun-i's Confucianist doctrine in which the "black" symbolizes the *Wu-chi* (Jap.: *Mukyoku*), or Ultimateless, whereas the "white" exhibits the *T'ai-chi* (Jap.: *Taikyoku*), or Great Ultimate. It must be reemphasized that any separation of the two terms of Great Ultimate and Ultimateless implies a glaring distortion of Chou Tun-i's conception.

Finally, the third pair of expressions tries to apply the structure of the chart to the Buddhist mentality of Tung-shan. In accordance with the tenets of the *Tōjō Ungetsu roku*, the black circle (stage 1) represents the Absolute or Great Ultimate in the Buddhist sense (Buddha nature, or *tathatā*). The white circle (stage 2) portrays the first change, or the beginning of relativization. But if Tung-shan's stanzas in the *Chu-wei-sung* (Jap.: *Chikui no ju*) are recalled, it can be seen that if any cosmogonic implications are to be included in Tung-shan's formulation, then the first stage, as given on the Neo-Confucianist chart (p. 201), would correspond inversely to Tung-shan's fifth. It would follow that the second stage, as corresponding to Tung-shan's fourth, could not be interpreted as the "start of relativity" (*cheng-chung-p'ien*; Jap.: *shōchūhen*); rather, it would have to be viewed as both "equality" and "diversity" tending towards their identity (*chien-chung-chih*; Jap.: *kenchūshi*), which obviously is not in accordance with the Confucianist structure of the chart.

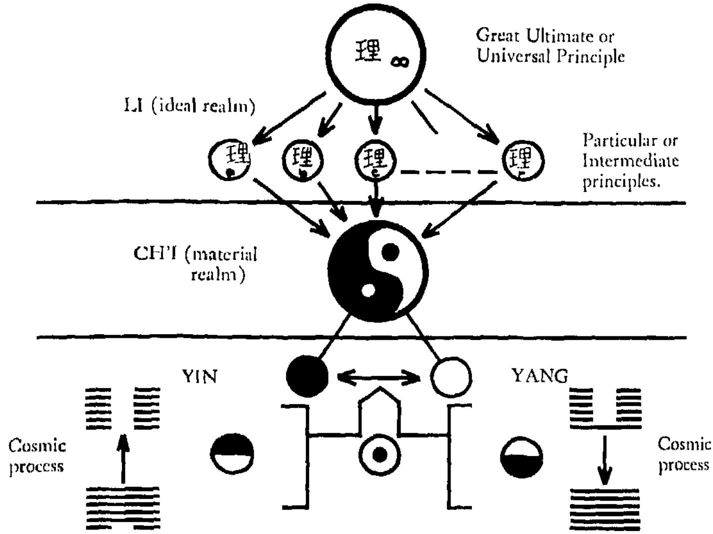
As noted previously, Tun-i teaches that the interaction of "white" and "black" does not convey any possibility of assuming an actual dualistic dichotomy within the Great Ultimate or Ultimateless (as a positive or negative ultimate). It can represent only the *notional* import of the two principles of relativity as facing one another in the dialectical *reflectedness* of *identity-in-difference*: *Yin* and *Yang*. Thus, however ingenious and similar the Neo-Confucianist chart is to Tung-shan's and Yüan-hsien's schemes of the Five Degrees, not only is the Buddhist conception and basic trait of "equality" within "diversity"

(and vice versa) ignored, but such a position also tends to mislead the mind of the student who is trying to understand Tun-i's function of the Great Ultimate. The real principle of identity, the Great Tao, as the ultimate coincidence of motion and quiescence, remains unrepresented and foreign to the diagram; and thereby it is assumed to be absent from the chain of origination. Such a position conveys the notion that pure relativism is the ultimate reason for the whole process. Nothing could be more alien to the teaching of Chou Tun-i.

In a complementary digression, it is useful to note how far the above chart fails to accommodate the Five Degrees structure faithfully to the *Yin* and *Yang* doctrine as propounded by the greatest of all Neo-Confucianist thinkers: Chu Hsi.[24] For Chu Hsi, *Yin* and *Yang* are both principles of materiality and concreteness which belong to the realm of *ch'i*.[25] In his conception, the Great Ultimate and the Ultimateless coincide in the Ultimate *Li*.[26] Redolent of Platonism, he admits two components of reality, *li* and *ch'i*.

The plurality of particular *li*'s (analogous to the "ideas" of Plato and the "forms" of Aristotle) is grounded on the Universal *Li* (resembling the idea of "Good" in Plato and the idea of the "prime mover" in Aristotle). According to Chu Hsi, the Ultimate Universal *Li* also has a teleological effect on the universe. Each particular *li* (or particular ideal principle) realizes itself concretely, that is, it materializes itself by informing the *ch'i* (material forces). The goal of these "material forces" is perfect realization of the corresponding "ideal principle" through the interaction of quiescence and motion (*Yin* and *Yang*). *Yin* and *Yang*, far from being ultimates, are "aspects" of *ch'i* (or material forces). Hence, in this context, the above diagram reveals itself as exhibiting both a purely relativistic and materialistic process. Such is the precarious position of the above diagram when inserted into the edifice of Chu Hsi's cosmology, as exhibited in the chart on page 206.

This leads to the conclusion that the attempt to formulate the Buddhist doctrine in terms of the Neo-Confucianist *Yin* and *Yang* tenet seems to be doomed to failure. The ensuing dilemma would either give final priority to "quiescence" in the Taoist sense, or it would face a complete relativization of the chain of causation with the subsequent extradition of absoluteness from the realm of relativity. Nothing



could be more anti-Mahayanistic and anti-Kegonian. This could eventually apply to a *Hīnayāna-Sarvāstivāda* context, wherein an ontological gap seems to isolate the "nonconditioned" *dharma* of absoluteness (*nirvāṇa*) from the plurality of "conditioned" *dharmas* that are involved in the purely relativistic cycle of origination. Nothing is more foreign to the *Mahāyāna* conception of the intrinsical and immanent presence of Absoluteness in relativity; and nothing is more alien to the ultimate synthesis whereby the Mahayanists reach their equation between *nirvāṇa* and *saṃsāra* and whereby enlightenment is expected to purify and enhance (rather than destroy) the very essence of *saṃsāra*.

* * * * *

A More Buddhistic Rendering of the Neo-Confucianist "*Yin-Yang*" Chart (p. 201)

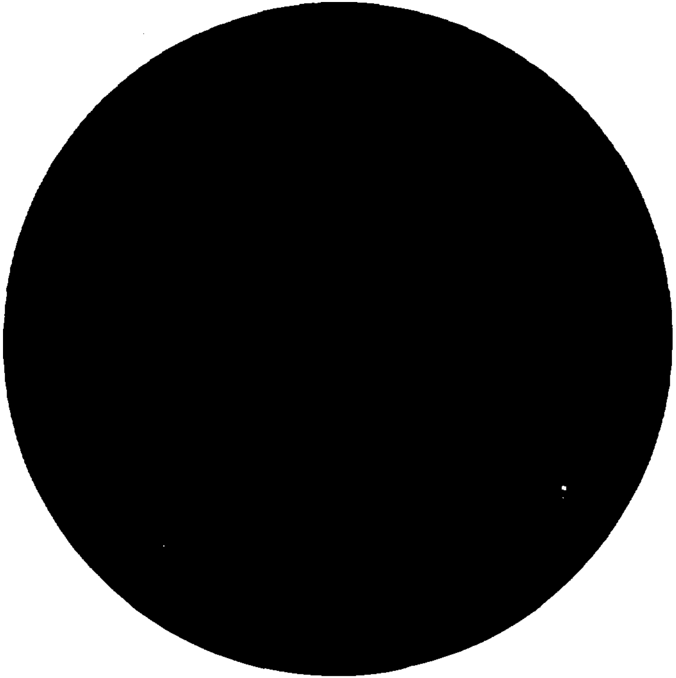
The *Sōtōshū Zensho* includes a collection of materials entitled *Kenketsu Kōun hyōchū Shugetsu*,[27] which represents further speculation on the discussion between the two monks Kōun and Shugetsu. A new expression of the *Ungetsu roku* chart (p. 201) is given by using two large circles, equal in size, and by enclosing the whole upward and downward *Yin-Yang* evolutive process within the white circle.[28] Apparently the *Sōtō* scholars, impressed by the *Ungetsu roku*'s pain-

staking efforts to yield a cosmological synthesis of the *Wu-wei* (Jap.: *Goi*, or Five Degrees), but detecting un-Buddhist and very realistic overtones, devised a simple way of idealizing and immanentizing the whole *Yin-Yang* process by representing their dialectical interaction as developing within the medium of "whiteness," which still opposes "blackness." The problem of the objects of signification of the two large white and black circles remains. Certainly their intention seems to be to "deultimatize" the *Yin* and *Yang* principles and restrict them to the role of correlative "moments" of the actual evolution "in progress," in order to restore the semantic function of the "black" and "white" circles to their original, more Buddhist signification of "equality" and "diversity." Let us recall that as presented by the *Ungetsu roku* chart, the "black" and the "white" circles signified quiescence and motion respectively, in keeping with the Confucianist background.

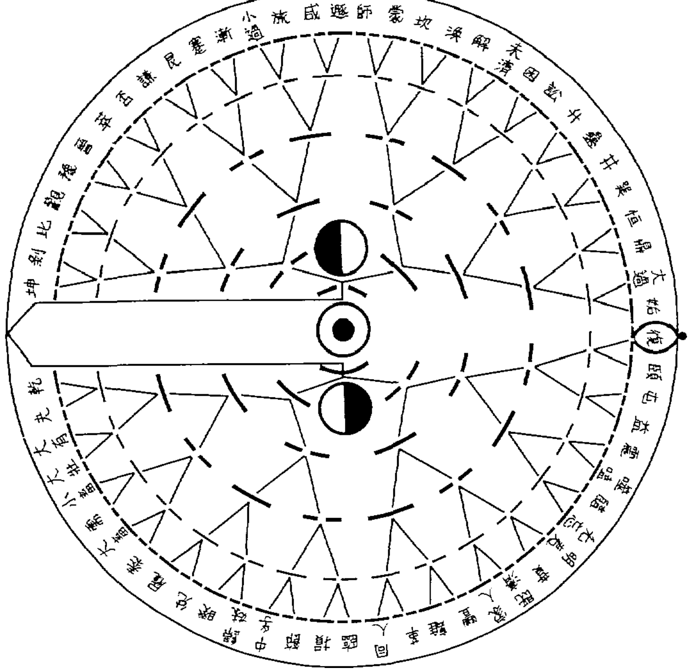
By viewing the resulting diagram (p. 208), one sees a definite attempt to return to Tsung-mi's more idealistic correlation of the *pu-pien* (Jap.: *fuhen*, or immutability) and *sui-yüan* (Jap.: *zui'en*, or all-involving chain of origination).

If this new version of the *Ungetsu roku* chart is properly interpreted, the two circles represent two merely notional aspects which supposedly apply to an in itself undivided and self-identical reality. The external opposition between the outer circles is merely abstract. It points only to a logical "correlation" of aspects. The real or concrete oppositions are shown as taking place within the white circle: as constituting the process of diversification, they are immanent to the aspect of "whiteness," which is the "otherness" of "blackness" and by which this latter (as "identity") "reaffirms" itself and comes back to itself. Thus, in the final analysis, the process of diversification is as immanent to the black circle as it is to the white.

In a context bearing upon the *Fa-hsiang* idealistic conception, the black and the white circles also could be interpreted either as *amala-vijñāna* versus *ālayavijñāna* (ancient school) or, in the view of the new *Fa-hsiang* school, as both representing *ālayavijñāna*. First the black circle would represent the *ālaya* prior to the activating influence of *hsi-ch'i* (Jap.: *jikke*, or active permeation); the white circle would represent the same *ālaya* as posterior to the action of *hsi-ch'i* (Jap.: *jikke*). The black circle would exhibit an undivided and undifferen-



Chin.: *PEN*
Jap.: *HON* (priority)
or
Chin.: *Pu-pien*
Jap.: *Fuhen*
(Immutability)

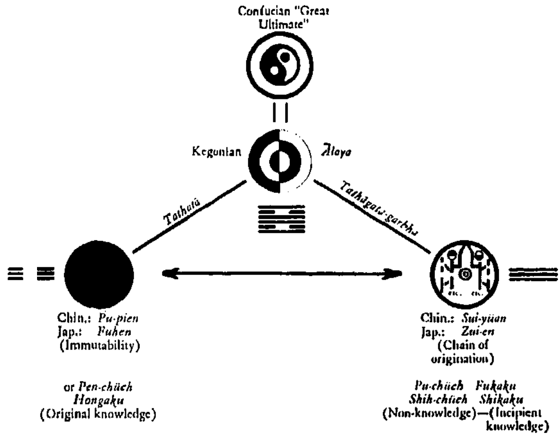


Chin.: *MO*
Jap.: *MATSU* (posteriority)
or
Chin.: *Sui-yüan*
Jap.: *Zui-en*
(all-involving chain of origination)

tiated consciousness (but one potentially ready for the *pariṇāma* process), while the white circle would stand for the *pariṇāma* process that implies the particularizing *neng-chien–so-chien* (Jap.: *nōken-shoken*) activities explained above.[20]

In a Kegonian interpretation, the two large circles would correspond to two aspects of the *ālayavijñāna* (the absolute "in" and "for itself") and signify the ultimate synthesis between *pen* (Jap.: *hon*, or priority or pure subjectivity, as the "absolute within itself") and *mo* (Jap.: *matsu*, or posteriority or pure objectivity, as the "absolute outside itself").

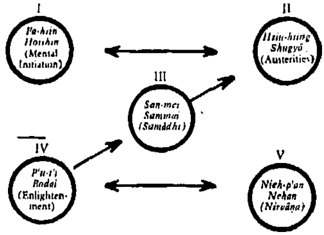
A proper diagram combining the Neo-Confucianist and Kegonian systems would be devised according to the following pattern:



As shown, the principles of *Yin* and *Yang*, when transferred into earlier Buddhist systems, will become the Chinese counterparts of passive *karma* and its mysterious activator, *hsi-ch'i* (Jap.: *jikke*, or permeation or habit-energy). Apparently the *Sōtō* scholars were conscious of the thorny difficulties involved in the character of the *hsi-ch'i* (Jap.: *jikke*)[30] activator of potential seeds as something simultaneously immanent in and independent of the pure medium of the *ālaya*; and they found the doctrine of *Yin* and *Yang* (as necessary metaphysical correlates) to be a dignified substitute for *hsi-ch'i* (Jap.: *jikke*) and a groundstone upon which they could build up their syncretic edifice.

Whether or not the *hsi-ch'i* (Jap.: *jikke*) theory of origination affects the diagram, the above change consists of reducing the "realist"

Confucianist conception of motion to a pure and mere "conscious" activity. *Yin*, in the view of earlier Buddhism, would be stagnant, quiescent consciousness. It would denote the type of transcendental quietude of which the Yogic ecstasies would be a foretaste, and of which quiescent *nirvāṇa* would be the final expression. In the terminology of the *Ta-ch'eng ch'i-hsin lun* (Jap.: *Daijō-kishinron*; Skt.: *Śraddhotpāda-śāstra*) and of Tsung-mi's Kegonian philosophy, *Yin*, when placed in pure subjectivity, is the immutable and original character of *pen-chüeh* (Jap.: *hongaku*, or original knowledge). Although *Yin* is the backbone of all objective being and the subjective aspect of the *enjō* (*pariniṣpanna*), when conceived in the above manner it would relate the dialectically downward and upward ever-turning *pariṇāma* process from *pu-chüeh* (Jap.: *fukaku*, or nonknowledge, origination) to *shih-chüeh* (Jap.: *shikaku*, or enlightenment, reversion), and vice versa. This oscillation in the two directions of *pu-chüeh* (Jap.: *fukaku*) and *shih-chüeh* (Jap.: *shikaku*) belong to the sphere of "motion," or *Yang*, for its content are the chain of causation or universal objectivity. Therefore, the whole cosmological Neo-Confucianist conception is converted into a strict dialectical process that intrinsically and formally remains a *consciousness process.* In this context, a very important matter remains: within the sphere of *Yang* (the white circle) two *climaxes* are taking place. In the evolutive dialectical process of the fundamental *Ungetsu roku* chart, "quiescence" prevails at one point, while "motion" predominates at another. In the Buddhist conception, both points of predominance must "coincide" in the superior synthesis of the *ālayavijñāna*: they must "deliver" the totality of reality. These two coincident climaxes are *p'u-t'i* (Jap.: *bodai*; Skt.: *bodhi*, or enlightenment) as the climax of "conscious objective activity" (*Yang*), and *nieh-p'an* (Jap.: *nehan*; Skt.: *nirvāṇa*) as the counterpart thereof, that is, the perfect quietude or coming to rest of all conscious subjective activity (the predominance of *Yin*). Both predominances represent coinciding moments in one self-realizing, self-determining identity. This is the only justifiable reason for all subsequent interpretations of Yüan-hsien's scheme of the Five Degrees, namely, to render the final "correlation" between the fourth and fifth stages as the self-reflectedness of the coincident aspects of total quiescence and total activity:[31]



This purely ascetico-mystical disposition of the Five Degrees will play an important role in the esoteric formulations to be studied hereafter. In spite of the possibility of accepting the inner identity between the fourth and fifth aspects, this possibility is far from being sufficiently grounded on the symbolic structure of Yüan-hsien's scheme: the two circular emblems standing for "enlightenment" (IV) and "*nirvāṇa*" (V) are still exhibited as extrinsic to one another, thereby explicitly instilling the idea of a "perfect *nirvāṇa*" as complete cessation and stillness, a trait not very much in keeping with the tradition of progressive Mahayanism. More about this will be said in the following chapter.

3

The Esoteric Approach to the Five Degrees of Sōtō-Zen

Summation: A thorough application of the Five Degrees to the Neo-Confucianist theories has reduced their role to a bare cosmogonic symbolism. In Chu Hsi's framework, viewed separately, they would entail only the purely materialistic aspects of evolution. The re-Buddhification of the *Tōjō Ungetsu roku* chart renders them into an idealistic dialectical structure revealing both genetic and mystical aspects. In a realistic cosmogonic context the movement between "quiescence" and "motion" (and vice versa) necessarily induces a progression and regression in the evolution of the macrocosm in itself: it has little place for the microcosm of man.

In an idealistic sense, however, the progression and the regression represent a fundamental function of consciousness that involves its origin, its deployment, and its purification. Thereby the human "microcosm," in which consciousness manifests itself individually, returns to the fore: the *progression* becomes a complex display of conscious objectivity, while the *regression* implies (in Plotinian terminology) *katharsis* and *haplosis*, that is, mystical purification and simplification of subjectivity. All formulations by Tung-shan and Ts'ao-shan, which are comparable to Tsung-mi's scheme, may be interpreted within an idealist pattern as containing both cosmogonic and mystical aspects (except for the *Kung-hsün wu-wei*; Jap.: *Kōkun goi*), which seems to include a solely mystical aspect).

The esoteric *Shingon*-like expressions of the *Goi* (Five Degrees) will offer two seemingly clear-cut formulations: one will be exclusively cosmogonic, thus implying the five material elements and the cosmos, while the other will be exclusively noetico-mystical and will involve an assimilation of the *Shingon* tenet of Five Wisdoms on the basis of the *Kung-hsün wu-wei* (Jap.: *Kōkun goi*) of Tung-shan.

As has previously been shown, the Confucian cosmologists' viewpoint concerning the existence and objective reality of the world and its genesis is fundamentally realistic. Yet, little has been said about the origin and essential constitution of consciousness within their cos-

mogeneses; and even Tun-i is not very explicit about it. The realism and quasi materialism of the cosmologists have their antagonists in metaphysical Taoism and in the idealist branches of Neo-Confucianism, including Wang Yang-ming. A synthesis between the material cosmogonies and a genesis of consciousness is attempted in the quasi-Platonic texture of Chu Hsi's philosophy, but it still relies upon the realistic assumptions of the independent and dualistic existence of both levels: the ideal and the concrete material. In sharp contrast to the cosmologists' theories, the *Mahāyāna* synthesis is fundamentally idealistic. Its roots sink deep into the *Vijñānavāda* doctrine of Asaṅga and Vasubandhu. The merging into diversity from equality, which is the starting point of the Five Degrees dialectics, becomes a relativization which is immanent to Absolute Consciousness, regardless of whether it be called *amala* (immaculate) or *ālaya* (storehouse). Their preoccupation is with a subjective anthropogenesis (rather than an objective cosmogony). As seen in Part 1 of this work, such a subjective genesis evolves into a rather detailed phenomenology of consciousness. In terms of the subjective constitution of objectivity, it surprisingly foreshadows the conception and even the terminology of Edmund Husserl.

Esoterism, being distinctively syncretic and amalgamating, will always occupy itself with forming a pan-cosmic alchemy wherein all metaphysical formulas of the philosophers, no matter how irreducible they might appear, could find a foundation in the ultimate refuge of human experience—the darkness of mystery. The mystery, the unfathomable abyss of wonder, becomes the very ground of existence. "Wonder" has no rational explanation, is perceived with awe, and (at most) is emotionally experienced; but it is never raised to the surface and exposed.

The aesthetic mystery, the *yūgen* of Japanese artistic sensitivity and intuition,[32] supposedly evinces the ultimate "unreason" of reality. In the original manifestations of tantric Buddhism in Nepal and Tibet (*Vajra*, or Diamond Buddhism) and in its Japanese version (*Shingon*), the mysterious, vibrating power of a germ syllable as a seed of expression might carry within it the élan of the entire universe. A tantric symbol in *Shingon* is not only a conventional sign: beyond its semantic function it conveys an essential touch of that which it repre-

sents. The magic formulas bear not only upon a hidden meaning, but they carry and transmit the very *seed* of that which is meant. They hold that materialistic cosmogonies and idealistic anthropogenesis share a common background: the infinity of mystery and wonder. This is the common layer beneath their dual conceptions of the two realms: the *garbha-dhātu* (Jap.: *taizō kai*,[33] or matrix realm of cosmical order, the material cause and *māyā* of the universe that involves in itself the five great material elements) and the *vajra-dhātu* (Jap.: *kongō kai*,[34] or the diamond realm, the world of conscious life, the indwelling medium of godly personification and the quasi-divine source on which human consciousness nourishes itself). In the *Shingon vajra-dhātu, hongaku* (original knowledge, the undivided, pure consciousness either of the *amala* or of the *ālayavijñāna*), when personified by the Universal Buddha (the *Ādi-Buddha*),[35] acquires the character of a vast Buddhist pantheon which houses the five Buddhas or wisdom *Tathāgatas* (Jap.: *Gobutsu Nyorai*)[36] as personified seats of the five types of wisdom that occupy the five sites of the universe. They remotely feature the rather abstract conception of the nine consciousnesses (reunified in five groups) of the *Wei-shih* (Jap.: *Yuishiki*; Skt.: *Vijñānavāda*) or "Consciousness-only" schools. Each of these personifications is associated with one of the five primordial elements and one of the five colors of the *garbha-dhātu*, whose combination and interactions they command in manifesting the phenomenal world. The spirit of these Buddhas becomes all-pervasive in and through the utterance of a proper mystic syllable or germ sound. They are credited with the evolution of the five main organs of the human body; and through the functions of the five organs, their power manifests itself throughout the irrational nature in the bodies of five animal archetypes. The first of these Buddhas is *Vairocana* (Jap.: *Birushana* or *Dainichi*), the proper Buddha of esoterism, who occupies the center of the universe, the other four being the Buddhas of esoteric synthesis. They are *Akṣobhya* (Jap.: *Ashuku*), *Ratnasaṃbhava* (Jap.: *Hōshō*), *Amitābha* (Jap.: *Amida*), and *Amoghasiddhi* (Jap.: *Fukūjōju*), who is sometimes replaced by the historical *Śākyamuni* (Jap.: *Shaka-nyorai*). They occupy the east, south, west, and north, respectively. To avoid lengthy explanations and references, the table below shows

the five esoteric wisdoms (*pañca-jñāna*; Jap.: *gochi*) and the remainder of the corresponding quintuples.

Obviously, the formulation of the "five wisdoms" by the esoteric *Shingon* is a sublimation of the nine forms of consciousness of the *Fa-hsiang* (Jap.: *Hossō*) or *Wei-shih* (Jap.: *Yuishiki*) schools. The Kegonian touch that enters this sublimation is personified by the *Shingon* in the figures of the five *Nyorai*s (five-wisdom Buddhas). The *vajra-dhātu* becomes a replica of the *jiji-muge hokkai* (*dharma* world of interpenetration) wherein the absence of *saṃsāra* error does not vitiate the differentiation among the eight remaining forms of consciousness; it only dispels the error implied by the *parikalpita* projections of independent worldly substances. The senses are purified through enlightenment: the *mano-vijñāna*, the *manas*, and the *ālaya* still retain an eternal function to be realized in the *Shingon vajra-dhātu.* Each of the five Buddhas sets the example by the "sublimated" use of the discriminative consciousnesses. The *ālaya* mirrors universal and all-comprehensive knowledge; the *manas* performs the function of realizing the equal "*paratantra*" (dependent) nature of all things; the *mano-vijñāna* exercises correct discrimination, that is, proper insight into the diversity of things; whereas the five sensorial consciousnesses indulge in welfare and in the wholesome worldly activity proper of the *nirmāna-kāya*,[37] as exemplified in the appearance of the historical Buddha.

Between the lofty elements of the *vajra-dhātu* and the worldly elements arising from the *garbha-dhātu*, the five positions of space and the seed sounds offer the connecting bridge between the two realms. The five mystic or germ syllables that appear in the table (although different versions or sets are available) are the keys to the entry into the *vajra-dhātu.* Their usage and frequent utterance directly effect the induction of the five wisdoms. Therefore, the syllables are the keys, and the five positions are the doors or gates to the *vajra-dhātu.*

Anagarika Govinda, in his German work *Grundlagen tibetischer Mystik*,[38] delves into the Tibetan formulations of the five wisdoms and the five mystic syllables. (In the table the rendering of the Tibetan five germ sounds also appeared.) The reader should refer to the above-mentioned work for further information concerning the meaning and use of the Tibetan syllables. In the present study the concen-

	Five wisdoms	Five Buddhas	Five germ-sounds				Five sites	Five elements	Five senses	Five organs	Five animals	Five colours
			Alphabet	Ajigoten	Gorinkan	Tibetan						
I	法界體性智 (*Dharmadhātu-prakṛti-jñāna*) Non-discriminating wisdom: Knowledge of the nature of the *Dharma-dhātu*. Derived from the *Amala-vijñāna*	Vairocana 大日 (Dainichi) Quality: Eternal and pure.	a	a	a	Oṃ	Center	Ether	Sight	Kidney	Lion	White
II	大圓鏡智 (*Ādarśa-jñāna*) "Great-round-mirror" wisdom, reflecting the myriad things. Derived from the *Ālaya-vij.*	Akṣobhya 阿閦 (Ashuku) Quality: Immutable and sovereing.	ra	ā	kha	Huṃ	East	Earth	Sound	Lungs	Elephant	Blue
III	平等性智 (*Samatā-jñāna*) Wisdom regarding all things as equal in nature. Derived from the *Kliṣṭamanas*.	Ratnasaṃbhava 宝勝 (Hōshō) Quality: Bliss and glory.	pa	am	ra	Traṃ	South	Fire	Smell	Spleen	Horse	Yellow
IV	妙觀察智 (*Pratyavekṣaṇa-jñāna*) Wisdom of profund insight and discrimination. Derived from the *Mano-vijñāna*.	Amitābha 阿彌陀 (Amida) Quality: Pity and help.	ca	aḥ	bha	Hriḥ	West	Water	Taste	Heart	Goose	Red
V	成所作智 (*Kṛtyānuṣṭhāna-jñāna*) Wisdom of welfare activity. Derived from the five sensorial *vijñānas*.	Amoghasiddhi 不空成就 (Fukūjōju) or Śakya-muni 釋迦 (Shaka) Quality: Incarnation.	na	āḥ	ka	Āḥ	North	Air	Touch	Liver	Garuda (King of birds)	Green
	Vajra-dhātu		Connection				*Garbha-dhātu*					

tration is upon the Japanese rendering of the *aji-kan* and *aji-goten*, which are the sets used also by the *Sōtō* text *Chūteki-himitsusho* in their esoteric synthesis of the *Sōtō no goi*. Here I am relying exclusively on this text for the exposition of esoteric interpretations of the Five Degrees.[39]

There are three sets of five germ sounds listed under the heading of *Goji-shingon* (Mantras in five graphs).[40] All of them are basic Sanskrit sounds. However, the Shingonian concern for secrecy did not permit the use of regular *Devanāgarī* characters. Instead it resorted to an archaic alphabet of mysterious origin which supposedly was devised and transmitted (according to Hinduistic accounts) by the Brahman himself. This alphabet, containing forty-two syllables, is called *siddham* (the perfected), and in its Japanese transliteration is *shittan*. Several of the best known *Mahāyāna sūtras* often refer to the *shittan* sounds. Their Chinese versions transliterate these sounds and characters through similar-sounding Chinese characters. The *Kegon* (*Avataṃsaka*) *sūtras* contain a glossary of the forty-two sounds, each of which conveys a specific value as a spiritual symbol. So does the *Shijūnishōkyō*, or *The Sūtra of Forty-two Sections*. The two-language Chinese-Japanese version of the *Mahāprajñā-pāramitā-sūtra* (Jap.: *Maka-hannya-haramitsu-kyō*)[41] also gives a complete listing of the forty-two syllables or *dhāraṇīs* (mystic signs), their mystical significations, and the effect to be induced in their users. Of these sounds, the first letter of the mystical alphabet and basic sound is supposed to be *ādi* (Jap.: *aji*, or *ah*), whose *shittan* graph with its Sino-Japanese, transliteration is:

[aji] 𑖀 = a = 阿

All other letters are born from this character, which also happens to be the first sound uttered by the human mouth. Accordingly, two basic mystical meanings are attached to the character. The *A*, the "mother of all," represents the origin and principle of all things. Its sound conveys the one ultimate Buddha nature or ground of reality, and thereby suggests the idea of evolution of all phenomena from *shinnyo* (the true thusness); and thus it carries an unmistakable cosmogonic signification. In addition, the sound *A*, constituting a nega-

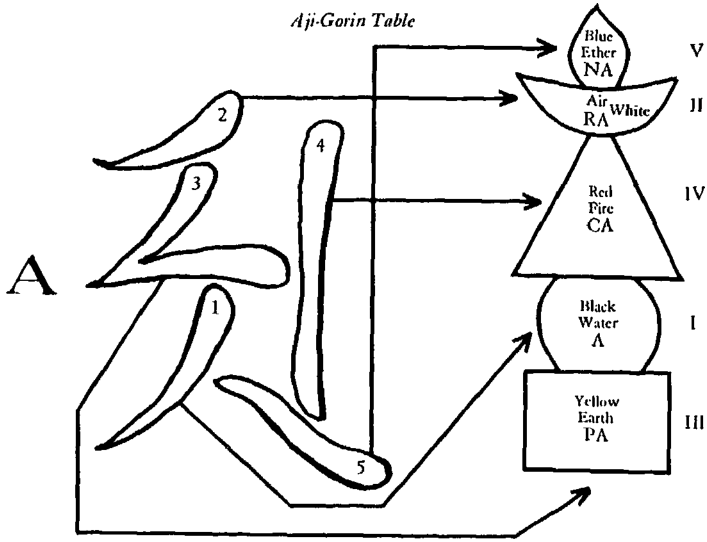
tive prefix in Sanskrit, is meant to symbolize the incomprehensibility and indeterminability of this ultimate reality as the uncreated, infinite, and empty source of everything. Frequently, the metaphysical nature of the graph *A* is designated by the formula *aji-hompushō* (the original, noncreated *ādi* sound)[42] and is viewed as the center of the *aji-kan maṇḍala* (the *maṇḍala* for contemplating the graph *ādi*),[43] which is depicted by a moon in whose center lies a lotus with eight petals that represent the eight points and half-points of the compass (N, S, W, E, NW, NE, SW, and SE). The graph *A* is visualized in the very center of the lotus. Meditation is practiced by concentrating on the graph *A* until the moon seems to expand itself to cover the entirety of the cosmos.

Other cosmogonic interpretations that are more pertinent to the purpose of viewing the *A* graph as exhibiting the principle of all reality consider each one of its five strokes in handwriting; thus the *aji* brings forth the four remaining fundamental consonants based on *A*, and each one of the five physical elements of the *garbhadhātu* simultaneously. In this context the germ sound *A* is connected with five elemental figures called the *gorinkan*,[44] the "contemplation of the five wheels."

The *gorin* is an emblematic figure probably of Nepalese origin. It is described in an ancient commentary (*Dainichi-kyō-gishaku*)[45] to the main text of the *Shingon* school (the *Mahā-vairocana-sūtra*), which is extant in Chinese and Japanese versions only. In this text the five elements or "wheels" of the *garbhadhātu*—ether, air, fire, water, and earth—are represented by five superimposed geometrical figures. The resulting composite emblem became a basic architectural pattern for most of the Nepalese and Tibetan *stūpas*, tombs, and temples. The five components of the *gorin* (beginning from the base) are described as a rectangle, a circle, a triangle, a semiglobe (or umbrella) and a gemlike sphere. Each of these components, as given in the *Chūteki-himitsusho*, carries one of the five basic sounds and one of the five basic colors as corresponding to each one of the strokes of the graph *ādi* (p. 219).[46]

The rendering of the five fundamental colors, as given by the *Chūteki-himitsusho*, does not correspond exactly to the *Shingon* set, which is in accordance with the original Tibetan rendering. Compar-

Aji-Gorin Table

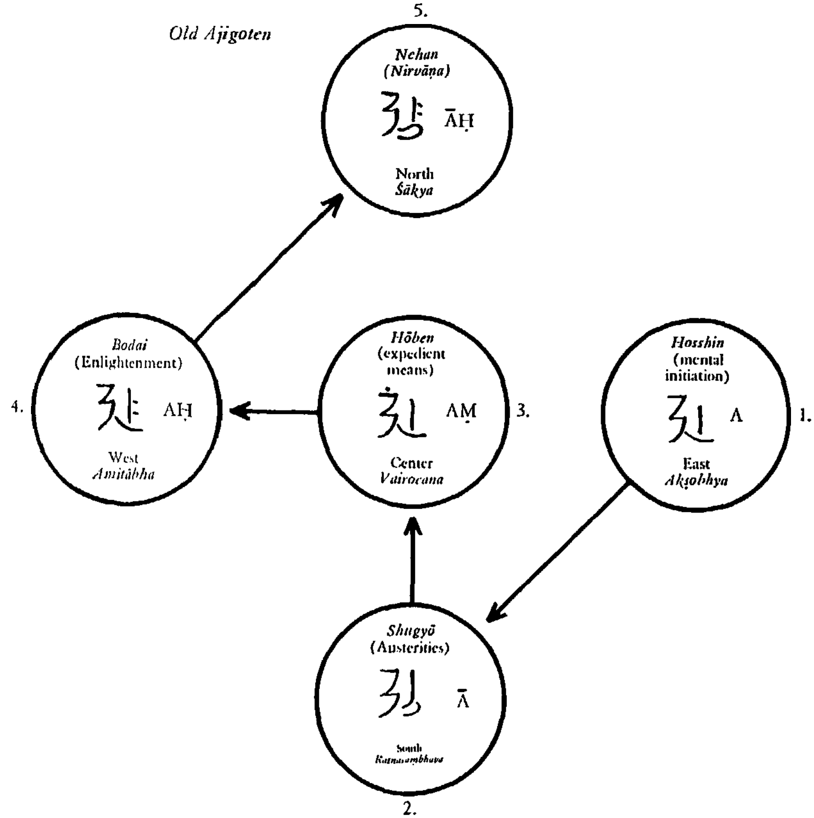


ing it with the table on page 216, one can see that "green" on the first stage has been replaced by "black." It looks as though this change was done to adapt the two primordial emblems of the *gorin* structure—namely, the circle (water) and the semiglobe (air)—to the opposite totally "black" and "white" circles representing the first and second stages of the Neo-Confucianist cosmogonic chart (p. 201) and the fourth and fifth stages of Tung-shan's *Chu-wei-sung* (Jap.: *Chikui no ju*) (p. 138).

In this sense, the five basic utterances (A, RA, PA, CA, and NA) would symbolize the steps of a universal cosmogony, reminding one roughly of the above-mentioned Neo-Confucianist cosmogony. This time, however, the sounds would represent either the five fundamental elements intervening in the cosmogonic process itself, or else the mythological Mount Sumeru, with the four quarters of the world, as a result of the same process.

But this cosmogonic symbolism is not the only one conveyed by the graph *aji* and its derivations. As mentioned previously, the ascetico-mystical "return to the source"—which runs counter to the cosmogonic process—is also frequently represented by the famous five-stroke graph. Instances of this ascetico-mystical symbolism are found in two different versions of the so called *aji-goten* (five transformations of the *aji* sound) table.[47]

The oldest *aji-goten* table mentioned by the *Chūteḳi-himitsusho* shows four fundamental transformations of the vowel A (Ā, AṂ, AḤ, and ĀḤ), instead of the four consonants (RA, PA, CA, and NA) of the previously explained *aji-gorin.* Thereby the table emphasizes the indestructible character of the primordial source of reality symbolized by the *aji* sound, whose derivations occur on the basis of mere accidental (vowels) and not substantial (consonants) transformations. In this *aji-goten* version, each vowel transformation of the sound *A* corresponds to five fundamental stages in an ascetico-mystical scale and to five compass points in the universe as respectively presided over by each of the five wisdom *Tathāgatas.* This *aji-goten* is reconstructed as follows:



Three important aspects of this rendering must be noted:

1. The five wisdom Buddhas faithfully correspond to the traditional listing.

2. The "Five Wisdoms" (*Gochi*),[48] which according to the original *Shingon* version were based upon the old *Fa-hsiang* idealistic doctrine of the *vijñānas* (*amala*, *ālaya*, *manas*, *mano-vijñāna*, and the five senses), have been replaced by five stages towards Buddhahood.

3. These five stages are an exact replica of Tung-shan's sequence in his *Kung-hsün wu-wei*, except for one single difference in numerical order: that is, *bodai* (enlightenment, the third stage) and *hōben* (expedient means, the fourth stage) have exchanged places, thereby becoming *hōben* (the third stage) and *bodai* (the fourth stage).

This exchange emphasizes the obvious intention to make the fourth and fifth stages of the sequence antithetical or at least correlative to each other, perhaps in order to strengthen Yüan-hsien's theory of opposition between the fourth and the fifth steps of the *Goi*. Assuming only a lineal progression in the original *Kung-hsün wu-wei* (Jap.: *Kōkun goi*) of Tung-shan, this difference would appear in the following way:

1. Tung-shan's lineal, simple progression:[49]

I ⟶	II ⟶	III ⟶	IV ⟶	V
Fa-hsin	*Hsiu-hsing*	*P'u-t'i*	*Fang-pien*	*Nieh-p'an*
Hosshin	*Shugyō*	*Bodai*	*Hōben*	*Nehan*
(Mental initiation or resolve)	(Austerities)	(Enlightenment)	(Expedient means)	(*Nirvāṇa*)

2. *Aji-goten* dialectical progression:

I ⟷	II ⟶	III ⟶	IV ⟷	V
Hosshin	*Shugyō*	*Hōben*	*Bodai*	*Nehan*

The static character of the first stage (*hosshin*, or mental initiation, including resolutions and vows as definitive and immutable) as opposing the dynamic nature of the second stage (*shugyō*, or discipline, austerities) could eventually give the defenders of Yüan-hsien a justification for consolidating the alleged dialectical character of the *Kung-hsün wu-wei* (Jap.: *Kōkun goi*). But, what type of formal opposition could be found in the pair *hōben* ⟷ *nehan*, which (according to Yüan-hsien) would suffice for the dialectical correlation between the fourth and the fifth stages? If it is answered that the dynamic character of *hōben* (expedient means or merciful activities) stands as correlated to the *assumed* total quiescence of *nehan* (*nirvāṇa*), this could hardly be taken as grounds for a formal and immediate dialectical "correlation"; for the dynamism of *hōben* is relative and of variable

character and does not represent any *absolute* climax in its functional role, whereas a formal and immediate dialectical "correlation" and mutual "reflectedness" would demand an equally immediate and proximate "IDENTITY-in-difference," an IDENTITY that can be found only in the climactic and "total" character of both states. In this sense there is no question that the exchange of places between *hōben* (expedient means) and *bodai* (enlightenment) fits perfectly with the above Neo-Confucianist interpretations (p. 199) in which *bodai* (enlightenment), as a climax of "conscious activity," would correspond to the summit of *Yang*, and *nehan* (*nirvāṇa*), as a climax of "passivity," would correspond to the total state of *Yin*. Thus, the immediate dialectical confrontation between the fourth and the fifth stages would have been saved. However, it is obvious that such an ordering of the *Wu-wei* (Jap.: *Goi*, or Five Degrees) could have been interpreted by Hui-hung's defenders as a maneuver on the part of his opponents to salvage Yüan-hsien's nearly demolished theory of opposition between the fourth and fifth stages. At any rate, the resulting series still seems to run counter to Tung-shan's intention in his *Kung-hsün wu-wei* (Jap.: *Kōkun goi*, or the fivefold sequence of merits), in which regardless of the fact that the third step unmistakably appears as the pivotal one, the activity of *hōben* (expedient means) still shows itself as the preamble, and neither as an opposite nor as a correlate to *nehan* (*nirvāṇa*, or the highest merit).

Thus it is easy to infer that Tung-shan's *Kung-hsün wu-wei* (Jap.: *Kōkun goi*), and perhaps also the *Chu-wei-sung* (Jap.: *Chikui no ju*), lacks the dialectical character exhibited by Ts'ao-shan's sets of stanzas: the *Chün-ch'en wu-wei* (Jap.: *Kunshin goi*) and the *Wu-wei hsien-chüeh* (Jap.: *Goi kenketsu*). All indications are that Tung-shan tried to do no more than present a simple ascetico-mystical progression towards Buddhahood without further dialectical sophistication.

Faced probably with this insurmountable difficulty in trying to force the *Kung-hsün wu-wei* (Jap.: *Kōkun goi*) sequence into a dialectical framework, the author of the *Chūteki-himitsusho* diverted his speculation toward a different rendering of the *aji-goten* (transformations of the sound *ādi*). This new *Aji-goten* seems to attempt a harmonization of the two sets of stanzas by Tung-shan, on the one hand the *Kung-hsün wu-wei* (Jap.: *Kōkun goi*), which lists *bodai* (enlight-

enment) as its third stage, and on the other the *Chu-wei-sung* (Jap.: *Chiḳui no ju*), which lists "coming from equality" (Jap.: *sammai*; Skt.: *samādhi*, or undifferentiated consciousness) as its third stage and the "both equality and diversity moving to the center" as its fourth.[50] This last can easily be equated with the functional character of transient *satori* (sudden illumination), as contrasted with the definitive character of the fifth stage ("both equality and diversity *formally* in the center"), which clearly represents "perfect *nirvāṇa*." Thus the fourth stage of the *Chu-wei-sung* (Jap.: *Chiḳui no ju*) (as implying *satori*) could be interpreted as *bodai* (enlightenment), which—as we know—is the third stage of the *Kung-hsün wu-wei* (Jap.: *Kōḳun goi*).

Following the above presuppositions, this new version of the *aji-goten* is based upon the specific esoteric values attached to the forty-two syllables of the *siddham* alphabet by the *Mahāprajñā-pāramitā-sūtra.* In chapter 19 of the *sūtra*, a complete glossary of these forty-two syllables, or *dhāraṇīs*, is given. Among them, five syllables have been chosen for the new *aji-goten*; and this connection with the symbolic meanings accounts for either a cosmological or a mystical five-fold scale. The direct cosmological meanings are given on the basis of five Sanskrit terms that have one of the five selected characters as their first syllable. A chart of the characters, with the corresponding meanings (based on the order of the Buddhist concept of five *ḳalpas*, or periods in the process of evolution between the beginning and the end of a world) follows:

1. 𑖀 A 阿 *ādyanutpāda* ("nonproduced" origin)
[*ḳalpa* of origination]

2. 𑖎 Ka 迦 *ḳarma* (action)
[*ḳalpa* of conservation]

3. 𑖨 Ra 羅 *rajas* (defilement)
[*ḳalpa* of decay]

4. 𑖥 Bha 婆 *bhāga* (division, destruction)
[*ḳalpa* of destruction]

5. 𑖏 Kha 呿 *ḳha* (void-space)
[*ḳalpa* of total emptiness]

Concomitant to the cosmological sense of the sequence, chapter 19 of the above mentioned *sūtra* also attaches an ascetico-mystical meaning to each of the five chosen graphs by suggesting the practice of certain virtues and insights (*pāramitās*), whose goal is to overcome the very cosmological character of the steps originally represented by the syllables.

According to the *sūtra*, the hermeneutics of these five main *pāramitās* correspond to the five chosen sounds as follows:[61]

1. *A*—"The graph *A* is the door to all *dharmas*, because [it means that] from the very beginning, nothing has ever been produced." Hence, the above interpretation of the syllable as *aji-hompushō* (Skt.: *ādyanutpāda*): the origination is void and illusory and nothing substantial has been produced. The ultimate substance is immutable and eternally inherent in all phenomena. It designates a positive aspect of emptiness.

2. *Ka*—"The graph *Ka* is the door to all *dharmas*, because [it means that] a real agent is unattainable." The syllable assists in the insight that action is apparent and phenomenal and therefore can neither be attained (*anupalabhya*) nor acquired. It enhances the transcendent "passivity" of *nirvāṇa* that underlies all activity.

3. *Ra*—"The graph *Ra* is the door to all *dharmas*, because [it means that] we can escape defilement." The syllable points to the insight that defilement is inherent only in illusion and not in the intrinsic constitution of the *dharmas* themselves. Should one realize emptiness, defilement would cease, without the *dharmas* themselves being destroyed.

4. *Bha*—"The graph *Bha* is a door to the various *dharmas*, because it takes us into [the insight of] the unattainability of destruction." Since production is not substantial, the same must be held concerning destruction; it attains neither to the ultimate reality nor to the source of all things.

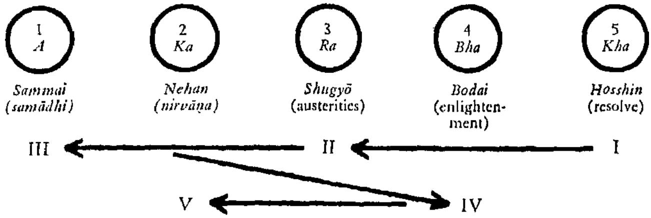
5. *Kha*—"The graph *Kha* is the door to the various *dharmas*, because it takes us into [the insight that] the void space is unattainable [or cannot be acquired]." The emptiness of space itself is unattainable because it is the physical counterpart of the metaphysical void of material things and world phenomena. Hence the vanity in the attachment to and acquisition of worldly possessions. As over against num-

ber one (*A*), this graph enhances the negative and material aspect of emptiness.[52] This purely negative aspect can be apprehended by relative wisdom and is previous to every ascent toward perfect enlightenment and realization.

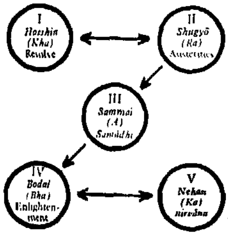
On the basis of these five *dhāraṇīs* (or mystic syllables just explained by the *sūtra*) and their concomitant *prajñā-pāramitās* (insights and perfections), the *Chūteki-himitsusho* offers its new *aji-goten* table. This means that the *Sōtō Zen* scholars will now attempt to read their own fivefold conception of the *Meritorious Achievements* (Chin.: *Kung-hsün wu-wei*; Jap.: *Kōkun goi*) into the explanations of these five *prajñā-pāramitās* (wisdom perfections). In summation, the five insights symbolized by the series *A-Ka-Ra-Bha-Kha* and the correspondence with the *Kōkun goi* follow this pattern:

1. *A*—Insight into the original equality of all phenomena—corresponding to *sammai* (undifferentiated *samādhi*).
2. *Ka*—Insight into the nonreal existence of action—corresponding to *nehan* (*nirvāṇa*).
3. *Ra*—Insight into the possibility of eliminating defilement—corresponding to *shugyō* (austerities).
4. *Bha*—Insight into the indestructibility of original knowledge—corresponding to *bodai* (enlightenment).
5. *Kha*—Insight into the emptiness and vanity of worldly, spatio-temporal things—corresponding to *hosshin* (mental initiation or resolve).

It is obvious that in this version of the *aji-goten* the whole effort has not been placed on twisting the sense of Tung-shan's lineal progression in his *Kung-hsün wu-wei* (Jap.: *Kōkun goi*) by forcibly trying to cast it into Yüan-hsien's dialectical model. Instead, the effort has been directed into harmonizing both sets of Tung-shan's stanzas, thereby bringing about a "concordance" of the two, by replacing *hōben* (expedient means—the third stage of the *Kung-hsün wu-wei* [Jap.: *Kōkun goi*]) by *sammai* (*samādhi*—the third stage of the *Chu-wei-sung* [Jap.: *Chikui no ju*]) and then coordinating the numbers of the sequence in this way:



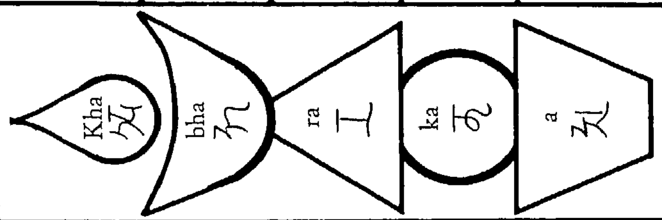
the result will be a blending between Tung-shan's *Chu-wei-sung* (Jap.: *Chikui no ju*) and the *Kung-hsün wu-wei* (Jap.: *Kōkun goi*), with the following dialectical configuration taking place:



(see also p. 211)

The chart below will reproduce this new interpretation of the *gorinkan* (five geometrical figures) on the basis of the new *aji-goten* symbols (*A*, *KA*, *RA*, *BHA*, and *KHA*), which have just been explained. It proposes an ascetico-mystical sequence based on the above-mentioned "concordance" between both sets of Tung-shan's stanzas. It also includes some of the traditional "quintuplets," such as the *Gochi* (Five Wisdoms), the Five Buddhas, the Five Sites, and the Five *Sūtras*.[53]

All the intervening constituents in the composition of the new *aji-goten* have already been explained. Now we must take cognizance of the fact that the Five Wisdoms (*Gochi*) now include the term *hon-raishō*, which is tantamount to *shōchūrai* (the third stage), or "coming from the midst of equality." In other reports of the *Chūteki-himitsu-sho* this third stage is rendered as *chūdenkyū*[54] or *bhāvanā*, which designates the "nondiscriminating wisdom" proper to the *Vairocana Buddha* (Jap.: *Dainichi*), as related above (table of the Five Wisdom Buddhas). And "nondiscriminating wisdom," as such, is attained through undifferentiated *samādhi* (Jap.: *sammai*), which—as has repeatedly been said—corresponds to the third stage of the *Chu-wei-sung* (Jap.: *Chikui no ju*).

		Gorin (Five wheels)	goi	Five Wisdoms	Five Buddhas	Five Sites	Five Sūtras	
			正中偏 *Shōchūhen* Diversity in Equality	發心 *Hosshin* Resolutions	*Yakushi* (Bhaiṣajya-guru)	East	*Agon-gyō* (*Āgama*)	I
			兼中到 *Kenchūshi* Both coming to center	菩提 *Bodai* Enlightenment	Amida (Amitābha)	West	*Hōdō-Gu* (*Vaipulya-sūtras*)	IV
			偏中正 *Henchūshō* Equality in Diversity	修行 *Shugyō* Austerities	Hōshō (Ratnasambhava)	South	*Kegon-kyō* (*Avatamsaka-sūtras*)	II
			兼中到 *Kenchūtō* Both in the center	涅槃 *Nehan* Nirvāṇa	Shaka (Śakyamuni)	North	*Hannya-gyō* (*Prajñā-pāramitā-sūtras*)	V
			正中來 *Shōchūrai* Equality in the center	本來生 *Honraishō* or *sammai* *Samādhi*	Dainichi (Vairocana)	Center	*Hokke-kyō* (*Saddharma-puṇḍarika-sūtra*)	III

It must also be noted that a section exhibiting the five groups of the chief Buddhist *sūtras* appears in this table: among these, the fourth group is termed *hōdō* (Skt.: *vaipulya*, or breadth), a designation that comprises all the Buddhist *sūtras* (excepting the *Āgamas*,[55] the *Ava-*

taṃsaka, the *Prajñā-pāramitā*, and the *Saddharma-puṇḍarīka* [or Lotus] *sūtras*, which represent the other four levels).

As a final consideration, let us point out that the hexagram *Chung-li* (Jap.: *Jūri*) ䷝ , which represents the third and central stage, is precisely the one that the *Pao-ching san-mei* (Jap.: *Hōkyō-zammai*) reserves for the fifth stage in its formulation: thus, in this respect, this *aji-goten* table pays some heed to Hui-hung's interpretation. Nevertheless, it should not be overlooked that the table still shows the black circle of the fifth stage (*nehan* or *nirvāṇa*) rendered in terms of pure "passivity" or "quiescence" (pure *Yin* ䷁). This very fact proves that esoteric interpretations were deeply rooted in Yüan-hsien's obvious inclination towards "quietism." At any rate, the whole point of the controversy surrounding the Five Degrees dialectic lies here: it shows the principal parties (Yüan-hsien's group on one hand, and Hui-hung's on the other) aligning themselves behind the ever-conflicting tendencies within *Mahāyāna* Buddhism at large, a conflict that fully manifested itself in the very midst of primitive *Zen*, with the splitting of the Northern School (with its quietist doctrine of gradual enlightenment) from Hui-neng's Southern School (which advocates sudden enlightenment). And as is well known, Hui-neng was the most unyielding adversary of Buddhist quietism. Needless to say, the Hui-hung interpretation of the Five Degrees will finally emerge as the only one that is in perfect accordance both with the dialectical tenets of *Kegon* and with the lively comprehensiveness of the *satori* experience as cultivated by the Hui-neng and Lin-chi brands of *Zen* Buddhism.

4
The Reinstatement of Hui-hung's Synthesis of the Five Degrees

The transcendental identity between "quiescence" and "motion," which is the ultimate reason for any equation between the two chief dialectical moments of the *Goi* (that is, equality and diversity) was not always adequately understood by Hui-hung's followers. Apparently, it took some time for them to realize the close relationship of their master not only with the *Pao-ching san-mei* (Jap.: *Hōkyō-zammai*) formula, but also with the Kegonian metaphysics of "interpenetration." The *Henshō goi zusetsu*[56] is a text in which all endeavors to apply the correlation between *Yin* and *Yang* as a counterpart to Yüan-hsien's fourth and fifth stages have been abandoned. All the formulations shown in this text adopt Hui-hung's method of thinking. Nevertheless, the prejudice against "motion" as a concept hard to reconcile with *nehan* (*nirvāṇa*) still prevails to a large extent. Their formulation, which is analogous to esoteric interpretations, still represents the fifth stage with the trigram ☷ . However, this use seems to imply the negative synthesis of the *Mādhyamika*, rather than the one-sided affirmation of unity and equality as total undifferentiation. Henceforth, the trigram ☷ (*k'un*) stands not as a mere cessation of movement or as pure passivity, but as a negation of both extremes—unity as opposed to plurality and quiescence as opposed to motion. The "arriving of both (unity and plurality) at the center" (*chien-chung-tao*; Jap.: *kenchūtō*) marks the total cessation of all "going" and "coming" (*pu-hsing–pu-ch'ü*; Jap.: *fugyō-fuko*);[57] and the whole process is considered to have reached a transcendental state that is designated only by negations.

This negative synthesis, which supersedes both "equality" and "diversity," falls short of the basic and positive coincidence between the real and the apparent, the substance and the function, and the *noumena* and the *phenomena*, as advocated by the *rijimuge* conceptions of *Kegon*. This latter, although accepting the basic negativistic *Mādhyamika* doctrine of the *middle way*, tries to progress beyond it, by giving both a more positive and a more popular view of the ultimate

truth, and, according to Tsung-mi, by exposing the hidden and remote character of Nāgārjuna's philosophy. The formulas that summarize ultimate reality, according to both philosophies, will be the basis for the two interpretations of the Five Degrees that will remain essentially faithful to Hui-hung's scheme:

Mādhyamika: *Shingū-hokkū*,[58] "negation of both the unity of consciousness and the plurality of *dharmas*" (as empty). The synthesis would involve the negations of both extremes, the *shō* (straight) and the *hen* (biased). Suspension of difference in a negative identity; the *real* is neither *shō* (straight) nor *hen* (biased) (or mere negation).

Kegon: *Shōsō-yūe*,[59] "affirmation of both," not outwardly as opposites, but innerly as overreaching one another. Positing identity, while preserving the difference. The *real* is both *shō* (straight) and *hen* (biased) (or negation of the negation: the *real* is neither not-*shō* nor not-*hen*).

The *Henshō goi zusetsu*, following the negativistic *middle way* of the *Mādhyamika* and Ts'ao-shan's simile of *chün-ch'en* (lord and vassal), proposes two formulations of the *Goi* (Five Degrees). These possibilities refer to Ts'ao-shan's apparent lack of consistency in deciding which pair, *cheng-chung-p'ien–p'ien-chung-cheng* (Jap.: *shōchūhen-henchūshō*) or *cheng-chung-lai–p'ien-chung-chih* (Jap.: *shōchūrai-henchūshi*) was primary. The doubt is grounded in the *Wu-wei chün-ch'en chih-chüeh* (Jap.: *Goi kunshin shiketsu*),[60] wherein the order of the *chün-ch'en* (Jap.: *kunshin*) relationships are given in the following order:

1. The lord acting as the *shō* (straight) stage.
2. The vassal acting as the *hen* (biased) stage.
3. The lord turning toward the vassal: this is the *shō* (straight) resolving into *hen* (biased).
4. The vassal looking at the lord: this is *hen* (biased) reintegrating into *shō* (straight).
5. Both the lord and the vassal meeting on the way: this is the expression for the identification of both, *shō* and *hen*.

Following the above text, the *Henshō goi zusetsu* gives the following arrangement of the *Chün-ch'en wu-wei* (Jap.: *Kunshin goi*):



I	II	III	IV	V
The Lord alone	The Vassal alone	The Lord looks at the Vassal	The Vassal turns to the Lord	Both Lord and Vassal together
Shōchūrai	*Henchūshi*	*Shōchūhen*	*Henchūshō*	*Kenchūtō* or *Kentai*
Abstract realm of Emptiness RI	Concrete world of form JI	RI resolving into JI	JI recentering RI	The great path of "real" void. The ultimate wonder of RIJI-MUGE

The above scheme attempts to arrange the *Chün-ch'en wu-wei* (Jap.: *Kunshin goi*) by rendering the two first stages respectively as the dimensions of the lord alone and of the vassal alone. Unfortunately, according to Ts'ao-shan's sets of stanzas, there are no stages for the lord or for the vassal as utterly isolated from one another.[61] Yüan-hsien's arrangement seemingly implies that the stages that represent motion and quiescence as notionally separated are the fourth and fifth stages in which the symbols depict their pure notional import by *pure white* and *solid black*. In Hui-hung's interpretation, although there is a pure black circle (the fifth), there is no place for a pure white one. "White" (diversity) stands only in submissive relationship to "black" (equality). Hence, the inconsistency of trying to accommodate an arrangement of the *Chün-ch'en wu-wei* (Jap.: *Kunshin goi*), in which the first stage would be "The lord alone" and the second "The vassal alone" by the use of symbols that contain either black in the center

and white in the periphery or white in the center and black on the outside.

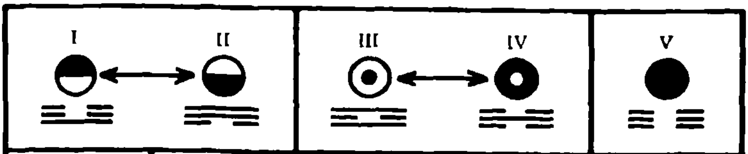
These symbols themselves betray the ultimate fact that the "loneliness" of the lord or of the vassal as isolated from each other plays a purely semantic role. The lord is a lord only because of his relation to the vassal, and the vassal is a vassal only inasmuch as he has a lord. Not even "notionally" is there a possibility of separating the concept of lord from the concept of vassal (or vice versa). The static category of the lord's "being-in-itself" necessarily bears within it the implicit connotation of the vassal, and vice versa; thereby the "being-in-itself" of both logically implies their "being-for-the-other."

The consequence is clear; the above text of Ts'ao-shan's, which seems to posit the pair *cheng-chung-lai–p'ien-chung-chih* (Jap.: *shōchūrai-henchūshi*) as being prior to *cheng-chung-p'ien–p'ien-chung-cheng* (Jap.: *shōchūhen-henchūshō*) has been superficially considered and wrongly interpreted. The intention of Ts'ao-shan, which becomes clearer if one considers the context as a whole (specifically in connection with the stanzas), is to expose the mere significatory and semantic role of both symbols (the lord and the vassal) by stating that the one represents equality and the other represents diversity. This intention can go no further. Clearly, it was never intended to identify the merely preliminary explanation of basic "meanings" with the actual stages of *cheng-chung-lai* (Jap.: *shōchūrai*) and *p'ien-chung-chih* (Jap.: *henchūshi*). Neither the subsequent mention of the action of the "lord looking at the vassal" nor that of "the vassal turning to the lord" carries the formal and exclusive intention to designate the stages *cheng-chung-p'ien* (Jap.: *shōchūhen*) and *p'ien-chung-cheng* (Jap.: *henchūshō*). It denotes only the essential character of the "correlation" between the two, without specifically referring to whether this correlation is to be accepted in its actual function of mediating between the terms, *cheng-chung-p'ien* (Jap.: *shōchūhen*) and *p'ien-chung-cheng* (Jap.: *henchūshō*), or as explicitly signifying only one of the terms while implicitly connoting the other (*cheng-chung-lai*; Jap.: *shōchūrai*; and *p'ien-chung-chih*; Jap.: *henchūshi*).

In understanding such reasons, the *Henshō goi zusetsu* reproduces a similar formulation, which returns to the proper order of the original *Chün-ch'en wu-wei* (Jap.: *Kunshin goi*), although this time substitut-

ing the *lord and vassal* symbolism by that of the host and the guest.

In this latter chart, the stages *paradoxically* connoting the "host" (*shō*) alone and the "guest" (*hen*) alone are again rendered as the third and the fourth—the order consistently maintained by Ts'ao-shan



Shōchūhen	*Henchūshō*	*Shōchūrai*	*Henchūshi*	*Kenchūtō*
The host receiving his guest 主 中 賓	The guest turning to the host 賓 中 主	The host by himself 主 中 主	The guest by himself 賓 中 賓	No host. No guest. The "whole substance is the function" 全體卽用 *Zentai-sokuyū* The "whole function is the substance" 全用卽體 *Zen'yū-sokutai*

in both his *Kunshin goi* and his *Goi shiketsu*—that is, as subsequent to the primordial actions that make up the essence of the host-guest relationship, whereby the *host receives the guest* and the *guest greets the host. The host by himself* would imply the reflexion of the host, looking at himself *as such* and recognizing his "being-there" for the guest; and equally *the guest by himself* (the fourth stage) would depict the moment of self-consideration as "guest," by which he realizes that he is *such and only such* by his comportment toward the host. The result will be that by "looking at himself" the host will see the guest, whereas by the same token the guest, "by looking at himself," will see his own host. In the final stage the realization is reached that there is not such a thing as a host and a guest as separate from each other. Their unity transcends their difference through an overlapping, singular action wherein there is no host and no guest.

Two more circumstances in regard to the content of the above charts should be pointed out:

1. Both schemes use trigrams in their representations of the stages; the trigram for the fifth stage is pure *Yin* (*K'un*) in both cases. This reveals a textual tendency toward a more negativistic conception of the ultimate state which excludes all positive expression of unity and plurality and passivity and activity from its realm. The purely negativistic attitude is proper to the *Mādhyamika* (*San-lun*; Jap.: *San-ron*) school and accounts for the expressions "neither *shō* nor *hen*," "no host, no guest," "the deep dark mystery," and so forth. The meeting and embracing of the *kun* (lord) and the *shin* (vassal), the fusion of the *shō* and the *hen*, literally equal the total disappearance of both, or, as stated in the above-mentioned simile of the *Ten Ox-herding Pictures*, "The man and the ox gone out of sight." They view the state symbolized by the trigram ☷ (*K'un*, pure *Yin*) absolutely, as something contained in itself and no longer as a correlate to *Yang*. Such an interpretation clearly distorts the original intention of the *I Ching* and its Confucian commentators, although it parallels the Taoist primacy of "passivity" (nonaction) in which the "female" finally conquers the "male" by her absolute and self-sufficient indifference. This predominance of the ultimate void of the Tao is illustrated in a variety of instances in the *Tao-te-ching* through the similes of the hollow of the clay vessel, the hole of a wheel, and the interior of the house; in all of these, applicability and utility are derived from emptiness. The emptiness found in the absolute and ontical void (Buddhist *śūnyatā*) is reminiscent of the character of the ultimate state, beyond the abstract unity and psychic void experienced in *samādhi* or "in the entering into" the realm of an "equality," which still opposes and thus necessarily connotes "diversity." The trigram ☷ (*K'un*) in the fifth stage symbolizes the absolute, all-pervasive, and unopposed "void," which goes beyond the relative concept of "quiescence" that is implied within the Confucianist context and also in the Neo-Confucianist and esoteric formulations of the Five Degrees. To at-

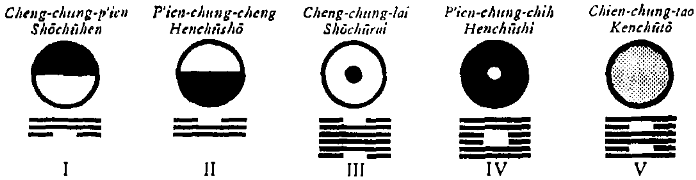
tribute such a new dimension to this trigram, no matter how Mahayanistic and Buddhistic such a dimension is, falls short of expressing the utmost positive attitude of the Kegonian *dharma* world of interpenetration, wherein the obscure and unappealing "negativistic void" of the *Mādhyamika* dialectic is replaced by the absolute affirmation of all things. The positive Kegonian attitude so proper to Tsung-mi's elaborations on the nature of the *Ālayavijñāna* and the *Tathāgata-garbha*, was also the best philosophical asset of the frequently mentioned poem *Hōkyō-zammai*, whose anonymous author was well versed both in the doctrine of the Indian *Avataṃsaka Sūtras* and in the mysteries of the Chinese *I Ching*. By deducing the significant pairs of five trigrams and hexagrams from his choice of the two most perfect hexagrams (as representing the perfect harmony between *Yin* and *Yang*), the author of this poem gave "formal status" to the famous dialectic of the Five Degrees. This dialectic was to find its close and completion only within a structure that included all (and excluded none) of the aspects of reality and within a synthesis of which, centuries later, Hegel became the Western formulator and herald.

2. Another relevant feature of the second *Henshō goi zusetsu* diagram is the significant enclosure of both formulas *zentai-sokuyū* (the whole substance is the function) and *zen'yū soku-tai* (the whole function is the substance) as expressions that apply equally to the fifth stage. These were precisely Yüan-hsien's modes of expressing the opposition between the fourth and fifth stages.[62] The latter is another example of the clear disapproval on the part of Hui-hung's followers against Yüan-hsien's miscarried attempt to exhibit a proper ultimate synthesis in his exposition of the *Wu-wei* (Jap.: *Goi*, or Five Degrees).

As already observed, the Five Degrees dialectical model, initially inspired probably by the *Pao-ching san-mei* (Jap.: *Hōkyō-zammai*) and Tsung-mi's *ariya-shiki* scheme and progressing from the stanzas of Tung-shan and Ts'ao-shan through many upheavals and revisions, ends in a faithful return to its very source and origin. Through this process it regains the genuine flavor of an all-comprehensive, all-

involving, identically subjective and objective dynamic impetus which is the Oriental foreshadowing of the Hegelian absolute idea.

Two *Sōtō* texts, the already-studied *Jūrijō henketsu* (Secret changes of the hexagram *chung-li*) and the *Goi kenketsu genji kyaku* (On the original wording of our revelation of the Five Degrees),[63] though separated by a period of approximately seven centuries, elaborate on Hui-hung's interpretation. The former text seems to be an elucidation of Hui-hung's position, while the latter is a strong defense of it against all alleged misinterpretations on the part of esoteric circles. However, the inconsistency of these texts results from the improper and unoriginal use of the "straight" and "broken" lines; the use of the "straight" for *cheng* (Jap.: *shō*) and the "broken" for *p'ien* (Jap.: *hen*) further displays the illogicality of using *Yang* lines for the dark sides of the circles and *Yin* lines for the white. Otherwise, there is hardly anything in these texts that would serve as an addition to what has been explained in the previous chapter about the symbols used in the *Pao-ching san-mei* (Jap.: *Hōkyō-zammai*). There is only an evasive but significant innovation on the symbolism used by the *Goi kenketsu genji kyaku*: instead of a totally black circle to express the fifth stage, as a mere vanishing of both opposites rather than as an "interpenetration" and interfusion that preserves the formal presence of both within their identity, the text introduces the use of a "gray circle" as follows:[64]



Undoubtedly, this simple amendment is the most perfect contribution that posterity has added to the early formulations of the *Wu-wei* (Jap.: *Goi*). Had Ts'ao-shan or Tung-shan happened upon the idea of substituting their impervious and intriguing black circle for the gray, the investigations through the tortuous and painful path of the development and growth of the Five Degrees dialectic would have become a placid and easy stroll toward the *Kegon* philosophical haven; and the solution would have been fantastically Buddhistic.

But in view of the absence of this "strikingly" simple solution to the founder of the Five Degrees, the questions still remain: Did Yüan-hsien interpret the literal meaning of Tung-shan's stanzas correctly? Does Tung-shan's exposition in the *Chu-wei-sung* (Jap.: *Chikui no ju*) differ intrinsically from Ts'ao-shan's *Wu-wei hsien-chüeh* (Jap.: *Goi kenketsu*) and *Chün-ch'en wu-wei* (Jap.: *Kunshin goi*) on which Hui-hung relied?

On the basis of extant historical sources, the answers to these questions can be given only through a manifold of highly articulated probabilities, whose short enumeration will be a summation of the results of our investigation.

1. The *Pao-ching san-mei* (Jap.: *Hōkyō-zammai*), although distorting the original symbolism of the hexagrams, sketches a truly Kegonian exposition of the dialectical process, which is embodied in the Five Degrees.

2. The *Pao-ching san-mei* (Jap.: *Hōkyō-zammai*), by using the symbolism of the *chin-kang-ch'u* (Jap.: *kongōsho*, or the *vajra* pounder) furnishes grounds for an interpretation that posits the third stage of the Five Degrees as central and the fourth and fifth as correlates.

3. Tung-shan, probably the first to discover the text of the *Pao-ching san-mei* (Jap.: *Hōkyō-zammai*) incorporated it into his own writings. Probably puzzled by its *chung-li* hexagram and intriguing speculation, he relied heavily on the *chin-kang-ch'u* (Jap.: *kongōsho*) symbolism. Correspondingly, Yüan-hsien and his esoteric followers, using the *chin-kang-ch'u* emblem and deciding to remain faithful to the original Confucianist meanings of the *I Ching* trigrams, devised a number of schemes that were akin to the *Vijñānavāda* and the *Fa-hsiang* systems of thought.

4. Ts'ao-shan Pen-chi, who was born just one year before Kuei-feng Tsung-mi's death, seems to have used the dialectical *ariya-shiki* schemes devised by the latter. Knowing the stanzas of his Master, Tung-shan, Ts'ao-shan developed the *Chün-ch'en wu-wei* (Jap.: *Kunshin goi*), which ignores the *chin-kang-ch'u* symbolism but assimilates the circular emblems used by Tsung-mi. Hui-hung, rightly interpreting Ts'ao-shan's intentions, developed and explained the *chung-li* speculation of the *Pao-ching san-mei* (Jap.: *Hōkyō-zammai*) and found it to be in perfect accord with the Kegonian tenets of Tsung-mi

and with Ts'ao-shan's probable rendering of the fifth stage as the overall synthesis. Nevertheless, the use of the symbolism of the *Yin* and *Yang* lines remains faulty.

5. Later scholars attempted to justify Ts'ao-shan's and Hui-hung's scheme without relying on the *Pao-ching san-mei*'s (Jap.: *Hōkyō-zammai*) distortion of the *Yang-Yin* symbols (*Yang* for *cheng* [Jap.: *shō*], *Yin* for *p'ien* [Jap.: *hen*]); the result was a *Mādhyamika*-like negativistic synthesis.

6. Other scholars, applying the *chung-li* (hexagram) speculations of the *Pao-ching san-mei* as explained by Hui-hung had no misgivings about twisting the meanings of the *Yin* and *Yang* symbolism in their own favor. They benefited greatly by the price paid in distorting the Confucianist meaning of *Yin* and *Yang*; their results turned out to be utterly Kegonian.

Notes

1. 空海 (or *Kūkai*) (A.D. 774–835), popularly known as *Kōbō-daishi* (弘法大師), the posthumous name given to the founder by emperor Daigo in A.D. 921.

2. The "Five Buddhas" (五佛, or *wu-fu*; Jap.: *gobutsu*), presiding over the five directions of the universe. *Vairocana* (Jap.: *Birushana* or *Dainichi*) occupies the center. Further details will be given later in the text.

3. 太極 (or *t'ai-chi*; Jap.: *taikyoku*) and 無極 (or *wu-chi*; Jap.: *mu-kyoku*).

4. 曹洞宗全書註解 (Jap.: *Sōtōshū Zensho chūge*), or "Complete works of the Sōtō school with notes and commentaries," in *Bukkyō-sha* (Tokyo, Year of Showa 5 [1930]).

5. 中的秘密書 (Jap.: *Chūteki-himitsusho*), or the "Esoteric book on the mean," in *Sōtōshū Zensho*, vol. 5.

6. 洞上雲月錄 (Jap.: *Tōjō Ungetsu roku*), or "Records of Master Ungetsu's discussion on Tung-shan," in *ibid.*

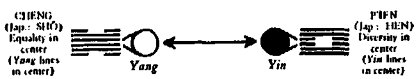
7. 重離疊變訣 (Jap.: *Jūrijō henketsu*), or "The Secret changes of the hexagram *Jūri*," in *ibid.*

8. 五位顯訣元字脚 (Jap.: *Goi kenketsu genji kyaku*), or "Elucidations on the Five Degrees following the original manuscripts," in *ibid.*

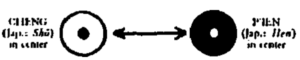
9. 偏正五位図說詰難 (Jap.: *Henshō goi zūsetsu kitsunan*), or "Critique of the interpretation of the Five Degrees schemes on the straight and the biased," in *ibid.*

10. In classical Chinese thought, *Yang* is the principle of creativity and activity; *Yin*, the principle of receptivity and passivity. "Activity" and "passivity" are far fram being synonymous with the notions of "equality" and "diversity" implied by the Buddhist terms *cheng* (Jap.: *shō*) and *p'ien* (Jap.: *hen*).

11. Observe the hexagrams expressing the third and fourth stages in Hui-hung's scheme (part 3, p. 134):



and compare them with the circular symbols used by Ts'ao-Shan (part 3, p. 168)



whereby black *(Yin)* represents "equality, purity" and white *(Yang)* represents "diversity, defilement." One should be reminded that in Tsung-mi's scheme, the symbols of "white" and "black" mean the opposite: "white" for "purity" and "enlightenment," "black" for "defilement" and "ignorance."

12. See above, note 5 of part 4.

13. Chou Tun-i (1017–1073), the great Neo-Confucianist thinker of the Sung dynasty (A.D. 960–1279), author of the "Diagram of the Supreme Ultimate and Ultimateless," to be mentioned frequently in this section.

14. *Chūteki-himitsusho*, p. 329.

15. See above, note 11 of part 4.

16. See Liu Wu-chi, *A Short History of Confucian Philosophy* (New York, 1955), pp. 39–43, about the Taoist "void" as the "mystic female" that conquers the "male" principle.

17. See Yüan-hsien's chart in part 3, p. 138.

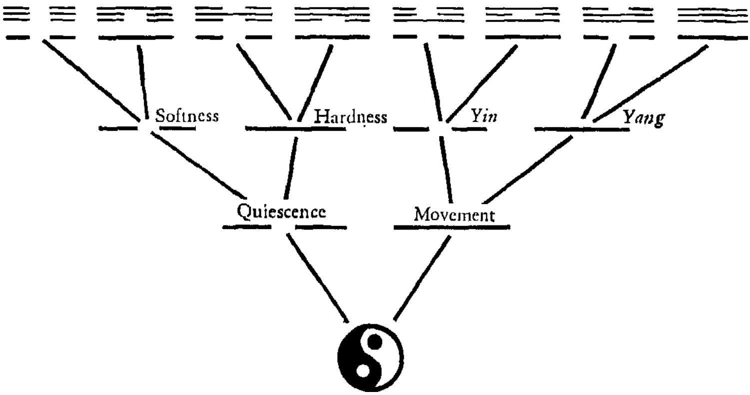
18. See above, part 3, pp. 130–134.

19. See note 6 of part 4.

20. ἐπιστροφή—according to Plotinus, the mystical ascent back to the ultimate source of emanation (the "One") through the "world soul" and the "nous."

21. See *Sōtōshū Zensho*, 5:89, 182.

22. Shao Yung (1011–1077), a Neo-Confucianist cosmologist who was a contemporary of the already-mentioned Chou Tun-i. He dialectically developed the eight trigrams out of the "quiescence" (靜 , or *ching*) and "movement" (動 , or *tung*) principles as resolving into *Yin* (darkness), *Yang* (light), "softness" and "hardness," in the following way:



See *Hsing-li Ta-ch'üan* (Great compendium of Neo-Confucianism), 8:1, quoted by Fung Yu-lan, *A History of Chinese Philosophy*, 2:454f.

23. *Sōtōshū Zensho*, 5:182.

24. Chu Hsi (1130–1200). See above, part 4, p. 192.

25. 氣 (or *ch'i*; Jap.: *ki*).

26. 理 (or *li*; Jap.: *ri*).

27. 顯 訣 耕 雲 評 註 種 月. See *Sōtōshū Zensho*, vol. 5.

28. *Ibid.*, p. 182. See diagram below.

29. See doctrines of the *Fa-hsiang* schools explained above, part 1, pp. 44–52.

30. See above, notes 69 and 32 of part 1.

31. Compare the present diagram with Yüan-hsien's scheme given in part 3, p. 138.

32. 幽玄 (or *yūgen*), or "mystery," "profundity," or "occultness." The *yūgen* spirit is embodied in such classical arts as *Nōgaku* (classical Japanese drama), poetry, Zenistic paintings, arrangement of flowers, gardens, etc.

33. 胎藏界 (or *t'ai-tsang-chieh;* Jap.: *daizōkai*), or the "womb-store of the world."

34. 金剛界 (or *chin-kang-chieh*; Jap.: *kongōkai*), or the "diamond world," called "diamond" (Skt.: *vajra*) on account of its hardness, which is capable of breaking all illusions and doubts, following the metaphor of the *Vajracchedikā-prajñā-pāramitā-sūtra*; it is used also in the symbolism of the diamond pounder mentioned above.

35. *Ādi Buddha,* the Buddha in his original nature or *Dharmakāya. Ādi* is the name of the first syllable of the *Siddham* alphabet (a medieval script of Sanskrit), used in esoteric Buddhism as a symbol of primordiality and priority.

36. 五佛如來 (or *wu-fu ju-lai*; Jap.: *gobutsu-nyorai*), see above, note 2 of part 4.

37. "Body of transformation," the mortal body of a Buddha (see above, note 31 of part 1).

38. Lama Anagarika Govinda, *Grundlagen tibetischer Mystik* (Zurich and Stuttgart, 1962).

39. Materials taken from the esoteric *Chūteki-himitsusho,* a text frequently mentioned above. See note 5 of part 4.

40. 五字眞言 (or *wu-tzu chen-yen*; Jap.: *goji-shingon*).

41. See *Kokuyaku daizōkyō* (edition *Kokumin Bunsha Hankōkai, Showa* year 10 [A.D. 1936]), *Kyōbu* (*sūtra* section), 2:178–180.

42. 阿字本不生 (or *a-tzu pen-pu-sheng*; Jap.: *aji-hompushō*), or "original, uncreated letter of *A*."

43. 阿字觀 (or *a-tzu kuan*; Jap.: *aji-kan*), or "Meditation on the letter *A*."

44. 五輪觀 (or *wu-lun-kuan*; Jap.: *gorinkan*), properly referring to the "five elements" that are considered the wheels of the physical world *(garbha-dhātu)*; the use of this term was extended to mean also the above-mentioned geometrical five figures (square, globe, triangle, half-globe, and gem).

45. 大日經義釈, or *Ta-jih-ching i-shih* ("Commentary to the *Mahāvairocana-sūtra*"), in fourteen fascicles or chapters, brought to Japan from China by the monk Ennin Jikaku-daishi. The *gorinkan* symbols are explained in chap. 11 of this text.

46. *Chūteki-himitsusho,* in the *Sōtōshū Zensho,* 5:357–358.

47. 阿字五轉 (or *a-tzu wu-chuan;* Jap.: *aji-goten*).

48. 五智 (or *wu-chih*; Jap.: *gochi*).

49. See above, part 3, pp. 150–155.

50. See chart in part 3, p. 138.

51. I am translating from the Chinese and Japanese text in *Kokuyaku daizōkyō,* 2:178–180. An English translation of this part from the Sanskrit text has been made available by Edward Conze in *Selected Sayings from the Perfection of Wisdom* (London, 1955), pp. 120–122.

52. Reminiscent of the Plotinian conception of matter as πενία παντελής (the "lack of everything" or "absolute want").

53. See *Sōtōshū Zensho,* 5:356, 355.

54. 中 殿 宮 (or *chung-tien-kung*; Jap.: *chūdenkyū*), or "the palace abode of the center," an expression which translates *bhavana* (palace) for *bhāvanā,* "realization" or the "nondiscriminatory wisdom" proper of the central third stage, technically termed as *hsiu-hsi-wei* (Jap.: *shujū-i,* or 修 習 位). A play on words between *bhavana* and *bhāvanā* seems to be intended here, whereby the "palace of the Center" *(bhavana)* becomes the metaphorical representation of "wisdom" *(bhāvanā).* See *Sōtōshū Zensho,* 5:330.

55. 阿 含 (or *Āgamas*; Jap.: *Agon*), a generic term that designates all the *Hīnayāna sūtras.* It also designates the part of the Chinese *tripiṭaka* corresponding to the Pāli *Nikāyas.*

56. See note 9 of part 4.

57. 不 行 不 去 , or *pu-hsing pu-ch'ü.*

58. See above, note 105 of part 2.

59. See above, note 106 of part 2.

60. 五 位 君 臣 旨 訣 (or *Wu-wei chün-ch'en chih-chüeh*; Jap.: *Goi kunshin shiketsu*), the preliminary explanation of the *Chün-ch'en wu-wei* is included in the first chapter (third paragraph) of the *Fu-chou Ts'ao-shan Pen-chi ch'an-shih yü-lu* (Jap.: *Bushū-Sōzan Honjaku zenji goroku* (see note 108 of part 2).

61. One should recall the double *reductio ad absurdum* concerning the pair "lord alone"–"vassal alone" as explained in part 3, pp. 162–166.

62. See above, part 3, pp. 137–138.

63. In the *Sōtōshū Zensho,* vol. 5. See also note 7 of part 4.

64. See *Sōtōshū Zensho,* 5:565, 586–589.

Index

Sanskrit Index

Chinese-Japanese Index

Japanese-Chinese Index